

STIC Database Tracking Number:

To: **BIJENDRA SHRESTHA**
Location: **KNX 4A11**
Art Unit: **3600**
Date: **March 18, 2010**
Case Serial Number: **10/045964**

From: *Sylvia Keys*
Location: **EIC3600**
KNX 4B59
Phone: **(571) 272-3534**
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Search Notes

Dear Examiner **SHRESTHA**:

Please find attached the results of your search for the above-referenced case. The search was conducted in Dialog, the Internet and EBSCO HOST.

I have listed *potential* references of interest in the first part of the search results. However, please be sure to scan through the entire report. There may be additional references that you might find useful.

If you have any questions about the search, or need a refocus, please do not hesitate to contact me.

Thank you for using the EIC, and we look forward to your next search!

I. POTENTIAL REFERENCES OF INTEREST	3
A. Dialog	3
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I. Potential References of Interest

A. Dialog

14/3,K/3 (Item 3 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0013204235 - Drawing available
WPI ACC NO: 2003-288485/200328
XRPX Acc No: N2003-229316
Financing trade management method for corporations and financial institutions, involves decomposing original proposed financing trade into series of decomposed trades
Patent Assignee: BLAUVELT J P (BLAU-I); CURIALLE F J (CURI-I); MORGAN CHASE BANK J P (MORG-N)
Inventor: BLAUVELT J P; CURIALLE F J
Patent Family (2 patents, 1 countries)
Patent Application
Number Kind Date Number Kind Date Update
US 20020188553 A1 20021212 US 2001284158 P 20010416 200328 B
US 2002123946 A 20020416
US 7596526 B2 20090929 US 2001284158 P 20010416 200964 E
US 2002123946 A 20020416

Priority Applications (no., kind, date): US 2001284158 P 20010416; US 2001284158 P 20010416; US 2002123946 A 20020416

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
US 20020188553	A1	EN	12	3	Related to Provisional US 2001284158
US 7596526	B2	EN			Related to Provisional US 2001284158

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

...series of forward trades that are netted and settled on future dates;
storing the series of decomposed trades in a database; and transmitting,
using an **electronic** connection, the series of decomposed
trades to the counterparties for **netting** and
settlement.

19/3,K/12 (Item 1 from file: 636)
DIALOG(R)File 636: Gale Group Newsletter DB(TM)

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04178985 Supplier Number: 54693158 (USE FORMAT 7 FOR FULLTEXT)
GSCC TESTING NEW DATABASE AND SUBSYSTEMS.
Operations Management, v5, n10, p6
March 8, 1999
Language: English Record Type: Fulltext
Document Type: Newsletter; Trade
Word Count: 408

The new system runs on an Oracle relational **database**, which is better suited for analytical applications than the current proprietary mainframe. Also, the core processing system has been divided into functional subsystems, including trade recording, risk management, **netting** and trade guarantee and the **settlement** process. With these modules, GSCC can isolate a component when it makes and tests **changes** without affecting the entire system, Palatnick explained. The utility is adding functions to the processing system in small numbers to ensure core processing is not...

19/3,K/9 (Item 6 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00788794 **Image available**
A FINANCIAL RISK AND EXPOSURE MANAGEMENT SYSTEM
SYSTEME DE GESTION DE RISQUES FINANCIERS
Patent Applicant/Assignee:
SUNGARD SOFTWARE INC, 1285 Drummers Lane, Wayne, PA 19087, US, US
(Residence), US (Nationality), (For all designated states except: US)
Patent Applicant/Inventor:
BELL Gavin, 2 Grosvenor Avenue, Carshalton, Surrey SM5 3EW, GB, GB
(Residence), GB (Nationality), (Designated only for: US)
Legal Representative:
HARRISON GOODDARD FOOTE (agent), Tower House, Merrion Way, Leeds LS2 8PA,
GB,
Patent and Priority Information (Country, Number, Date):
Patent: WO 200122305 A2 20010329 (WO 0122305)
Application: WO 2000GB3671 20000925 (PCT/WO GB0003671)
Priority Application: GB 9922589 19990923
Designated States:
(Protection type is "patent" unless otherwise stated - for applications prior to 2004)
AE AL AU BA BB BG BR CA CN CR CU CZ DM EE GD GE GH GM HR HU ID IL IN IS
JP KP KR LC LK LR LT LU LV MA MD MG MK MN MX NO NZ PL RO RU SG SI SK TR
TT TZ UA UG US UZ VN YU ZA ZW
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English

Fulltext Word Count: 4887

Fulltext Availability:
Detailed Description
Claims

Detailed Description
... rules for validity tests.

In one embodiment, the database stores dynamic tables which are frequently updated and static tables of infrequently updated data, and said **netting agreement** tables are dynamic.

In one embodiment, the static tables comprise a master agreement table of data associated with a static master agreement including data fields...

Claim

... as claimed in
any preceding claim, wherein the database stores dynamic tables which are frequently updated and static tables of infrequently updated data, and said **netting agreement** tables are dynamic.

5 A financial risk and exposure management system as claimed in claim 4, wherein the static tables comprise a master agreement table...

16/3,K/5 (Item 3 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00806382

METHOD FOR AFFORDING A MARKET SPACE INTERFACE BETWEEN A PLURALITY OF MANUFACTURERS AND SERVICE PROVIDERS AND INSTALLATION MANAGEMENT VIA A MARKET SPACE INTERFACE

PROCEDE DE MISE A DISPOSITION D'UNE INTERFACE D'ESPACE DE MARCHÉ ENTRE UNE PLURALITE DE FABRICANTS ET DES FOURNISSEURS DE SERVICES ET GESTION D'UNE INSTALLATION VIA UNE INTERFACE D'ESPACE DE MARCHÉ

Patent Applicant/Assignee:

ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
(Residence), US (Nationality)

Inventor(s):

MIKURAK Michael G, 108 Englewood Blvd., Hamilton, NJ 08610, US,

Legal Representative:

HICKMAN Paul L (et al) (agent), Oppenheimer Wolff & Donnelly LLP,
1400 Page Mill Road, Palo Alto, CA 94304, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200139028 A2 20010531 (WO 0139028)
Application: WO 2000US32308 20001122 (PCT/WO US0032308)
Priority Application: US 99444773 19991122; US 99444798 19991122

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE
ES FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV
MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT
TZ UA UG UZ VN YU ZW
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 170977

Fulltext Availability:

Detailed Description

Claims

11/3,K/2 (Item 1 from file: 15)

DIALOG(R)File 15: ABI/Inform(R)

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02333277 102128825

Insolvency law and close-out netting in Greece: A case for legal reform

Papathanassiou, Chryssa

Journal of International Banking Regulation v3n3 PP: 291-296 Dec 2001

ISSN: 1465-4830 JRNL CODE: JIBR

WORD COUNT: 2934

TEXT: ABSTRACT

This paper analyses the validity and **enforceability** of close-out netting under Greek bankruptcy law in the context of financial contracts. It concludes that there is a high legal risk that closeout netting may not be **enforceable** in the case of bankruptcy of Greek counterparties. Therefore, a legal reform is imperative in order to provide transparency for complex financial products with **computerised**, almost instant, price **adjustments**. With a number of EU legal acts on winding-up waiting to be transposed into national law, the legislator should take the opportunity to recognise close-out **netting** in the context of master **agreements** with credit institutions.

INTRODUCTION

Market associations have not yet provided any legal opinion for the European Master Agreement (EMA), sponsored by the Banking Federation of...

10/3,K/2 (Item 2 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00843142

LEVERAGE MARGIN MONITORING AND MANAGEMENT
SURVEILLANCE ET GESTION DU TAUX D'ENDETTEMENT

Patent Applicant/Assignee:

UBS AG, 677 Washington Boulevard, Stamford, CT 06901, US, US (Residence),
US (Nationality)

Inventor(s):

RADEMACHER Robert, 8 Londonerry Lane, Lincolnshire, IL 60069, US,
ADKISSON David, 601 Hillside Road, Glenview, IL 60025, US,
MALOV David, 126 Kelbuzne Avenue, SleepyHollow, NY 10591, US,

Legal Representative:

KINCART Joseph P (agent), Clifford Chance Rogers & Wells LLP, 200
Park Avenue, New York, NY 10166, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200175739 A2 20011011 (WO 0175739)

Application: WO 2001US10483 20010330 (PCT/WO US0110483)

Priority Application: US 2000193187 20000330; US 2000597881 20000620

Designated States:

(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ
EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS
LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ
TM TR TT TZ UA UG UZ VN YU ZA ZW
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 9750

Fulltext Availability:

Detailed Description

Detailed Description

... 0 and quantifying an aggregate exposure for the identified entity 1 1

1. Quantifying an aggregate exposure 1 1 1 can include cross entity
exposure **netting**, cross product

netting and cross **agreement**

netting. Based upon the aggregate exposure 1 1 1, a
determination can be made as to the amount of collateral needed to offset
the exposure 112...

...and other credits to offset the aggregate exposure. A computerized
system can be used to continually monitor and manage the leverage
position 114, wherein the **computerized** system
continually receives information **updating** various

positions included in the exposure.

An entity 1 1 0 can include a corporation, partnership, company, individual, volume purchase group or association formed to...

10/3,K/1 (Item 1 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00942470
DATA STORAGE SYSTEM
SYSTEME DE STOCKAGE DE DONNEES

Patent Applicant/Assignee:

THE DEPARTMENT OF NATURAL RESOURCES AND ENVIRONMENT FOR AND ON BEHALF OF
THE CROWN IN RIGHT OF THE STATE OF VICTORIA, 8 Nicholson Street, East
Melbourne, Victoria 3002, AU, AU (Residence), AU (Nationality), (For
all designated states except: US)

Patent Applicant/Inventor:

BARRY John Patrick, 17 Greenslopes Drive, Carrum Downs, Victoria 3201, AU
, AU (Residence), AU (Nationality), (Designated only for: US)

Legal Representative:

GRIFFITH HACK (agent), 509 St Kilda Road, Melbourne, Victoria 3004, AU,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200275618 A1 20020926 (WO 0275618)

Application: WO 2002AU320 20020320 (PCT/WO AU0200320)

Priority Application: AU 20013849 20010320

Designated States:

(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ
EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR
LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SD SE SG SI
SK SL TJ TM TN TR TT TZ UA UG US UZ VN YU ZA ZM ZW
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 27203

Fulltext Availability:

Detailed Description

Detailed Description

... further amendments, even if

agreed by the parties, can be made to the Coversheet from
that point on,

Only at that time specified does the **Settlement**

Manager

begin its checking and **netting** processes. If completed

satisfactorily, lists of payments and the net position of the financial institutions involved are passed to the Financial Settlement Manager so that...

...Office,
lodging fees payable to Land Registry and of course the funds required to discharge the mortgages, if any, and the balance of funds, after **adjustments**, to the vendor.

Where an **electronic** bank receipt is in use, the details of the financial instrument, embodied in electronic conveyancing as an electronic bank receipt are uploaded, after lodgement of...

II. Inventor Search Results from Dialog

0 results

III. Abstract Files from Dialog

A. All Databases

File 344: Chinese Patents Abs Jan 1985-2006/Jan
(c) 2006 European Patent Office

File 347: JAPIO Dec 1976-2009/Nov(Updated 100228)
(c) 2010 JPO & JAPIO

File 350: Derwent WPIX 1963-2010/UD= 201018
(c) 2010 Thomson Reuters

File 371: French Patents 1961-2002/BOPI 200209
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File 2: INSPEC 1898-2010/Mar W1
(c) 2010 The IET

File 35: Dissertation Abs Online 1861-2010/Feb
(c) 2010 ProQuest Info&Learning

File 65: Inside Conferences 1993-2010/Mar 17
(c) 2010 BLDSC all rts. reserv.

File 99: Wilson Appl. Sci & Tech Abs 1983-2010/Jan
(c) 2010 The HW Wilson Co.

File 474: New York Times Abs 1969-2010/Mar 17
(c) 2010 The New York Times

File 475: Wall Street Journal Abs 1973-2010/Mar 17
(c) 2010 The New York Times

File 583: Gale Group Globalbase(TM) 1986-2002/Dec 13
(c) 2002 Gale/Cengage

File 139: EconLit 1969-2010/Feb
(c) 2010 American Economic Association

Set Items Description

S1 48 NETTING(8N)(CONTRACT OR CONTRACTS OR AGREEMENT OR AGREEMENTS)

S2 60 (SETTLEMENT OR CONTRACT OR CONTRACTS)(8N)NETTING

S3 118239 (AUTOMATED OR COMPUTERIS? OR COMPUTERIZ? OR ELECTRONIC)(5N-
) (ANALYSIS OR ASSESS? OR MEASUR? OR EVALUAT?)

S4 44261 (AUTOMATED OR COMPUTERIS? OR COMPUTERIZ? OR ELECTRONIC)(5N-
) (UPDAT? OR MODIF? OR ADJUST? OR UP()) (DATE? ? OR DATING) OR C-
HANGE OR CHANGES OR CHANING OR DELETE OR DELETES OR DELETING -
OR EDIT OR EDITS OR EDITING)

S5 1181855 QUALIFICATION? OR ENFORC? OR CONFIDENCE OR ISSUE? ?

S6 26995 (RULE OR RULES OR LAW OR LAWS OR CODE OR CODES)(8N)(DB OR -
DATABASE? OR DATAFILE? OR DATA()) (BASE OR BASES OR FILE OR FIL-
ES)

S7 2227 AU= (WILCE, S? OR WILCE S? OR HARRIS, P? OR HARRIS P? OR SC-
OTT(2N)WILCE OR PATRICK(2N)HARRIS)

S8 81 S1 OR S2
 S9 0 S8 AND (S3 OR S4)
 S10 558726 (AUTOMATED OR COMPUTERIS? OR COMPUTERIZ? OR ELECTRONIC) AND
 (ANALYSIS OR ASSESS? OR MEASUR? OR EVALUAT?)
 S11 0 S8 AND S10
 S12 0 S8 AND S6
 S13 12 S8 AND (AUTOMATED OR COMPUTERIS? OR COMPUTERIZ? OR ELECTRO-
 NIC)
 S14 12 RD (unique items)
 S15 15 S8 AND (UPDAT? OR MODIF? OR ADJUST? OR UP())(DATE? ? OR DAT-
 ING) OR CHANGE OR CHANGES OR CHANING OR DELETE OR DELETES OR -
 DELETING OR EDIT OR EDITS OR EDITING)
 S16 12 S15 NOT S14
 S17 12 RD (unique items)
 S18 15 S8 AND (RULE OR RULES OR LAW OR LAWS OR CODE OR CODES)
 S19 10 S18 NOT (S14 OR S15)
 S20 9 RD (unique items)
 S21 0 S7 AND (S1 OR S2)
 S22 0 S7 AND NETTING

14/3,K/1 (Item 1 from file: 350)
 DIALOG(R)File 350: Derwent WPIX
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0019989621 - Drawing available
 WPI ACC NO: 2010-B06247/201009
 Processing method for handling data relating to currency trades, involves
 forwarding data relating to aggregate trades and corresponding individual
 trades to booking system, and data relating to trades to third party
 settlement system
 Patent Assignee: OPTION COMPUTERS LTD (OPTI-N)
 Inventor: KRISKINANS P; SMITH F M; SMITH F
 Patent Family (2 patents, 40 countries)
 Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 20100017320	A1	20100121	US 2008175782	A	20080718	201009 B
EP 2149859	A1	20100203	EP 2009165637	A	20090716	201010 E

Priority Applications (no., kind, date): US 2008175782 A 20080718

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
US 20100017320	A1	EN	10	4		
EP 2149859	A1	EN				

Regional Designated States, Confirmed: AT BE BG CH CY CZ DE DK EE ES FI FR
 GB GR HR HU IE IS IT LI LT LU LV MC MK MT NL NO PL PT RO SE SI SK SM TR
 AL BA RS

Alerting Abstract ...identification on unmatched trades. Reduces costly
 errors downstream and increases back office productivity. Enables quickly
 advising instructions to the settlement system. Reduces the risk on
settlement by bilateral payment

netting.

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

...support system in which details of trades are provided to a third party system for settlement and at least one of the parties has an
< B> electronic booking system at which trades are recorded individually, the method comprising at least one of the parties receiving data relating to agreed individual trades, processing...

14/3,K/2 (Item 2 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0017495196 - Drawing available

WPI ACC NO: 2008-D15637/200822

XRPX Acc No: N2008-246907

Net settlement computing entity for e.g. server, has processors calculating net trade for settlement counterparty and financial instrument from matched trades, and substituting matched trades with net trade

Patent Assignee: CHICAGO MERCANTILE EXCHANGE INC (CHIC-N); REUTERS AMERICA INC (REUT-N); REUTERS LTD (REUT-N)

Inventor: DOAR T J; GOGOL E; GOGOL E M; SILVERMAN D L; SILVERMAN D L; DOAR T ; SILVERMAN D

Patent Family (8 patents, 121 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 20080071664	A1	20080320	US 2006532669	A	20060918	200822 B
WO 2008036197	A2	20080327	WO 2007US19948	A	20070914	200824 E
WO 2008036197	A3	20081127	WO 2007US19948	A	20070914	200882 E
AU 2007297764	A1	20080327	AU 2007297764	A	20070914	200952 E
EP 2092479	A2	20090826	EP 2007838195	A	20070914	200956 E
			WO 2007US19948	A	20070914	
CN 101595506	A	20091202	CN 200780038538	A	20070914	200982 E
			WO 2007US19948	A	20070914	
CA 2663624	A1	20080327	CA 2663624	A	20070914	201003 E
			WO 2007US19948	A	20070914	
			CA 2663624	A	20090317	
JP 2010503920	W	20100204	WO 2007US19948	A	20070914	201010 E
			JP 2009528297	A	20070914	

Priority Applications (no., kind, date): US 2006532669 A 20060918

Patent Details

Number Kind Lan Pg Dwg Filing Notes

US 20080071664 A1 EN 26 11

WO 2008036197 A2 EN

National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BH BR
BW BY BZ CA CH CN CO CR CU CZ DE DK DM DO DZ EC EE EG ES FI GB GD GE GH
GM GT HN HR HU ID IL IN IS JP KE KG KM KN KP KR KZ LA LC LK LR LS LT LU
LY MA MD ME MG MK MN MW MX MY MZ NA NG NI NO NZ OM PG PH PL PT RO RS RU
SC SD SE SG SK SL SM SV SY TJ TM TN TR TT TZ UA UG US UZ VC VN ZA ZM ZW

Regional Designated States,Original: AT BE BG BW CH CY CZ DE DK EA EE ES
FI FR GB GH GM GR HU IE IS IT KE LS LT LU LV MC MT MW MZ NA NL OA PL PT
RO SD SE SI SK SL SZ TR TZ UG ZM ZW

WO 2008036197 A3 EN

National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BH BR
BW BY BZ CA CH CN CO CR CU CZ DE DK DM DO DZ EC EE EG ES FI GB GD GE GH
GM GT HN HR HU ID IL IN IS JP KE KG KM KN KP KR KZ LA LC LK LR LS LT LU
LY MA MD ME MG MK MN MW MX MY MZ NA NG NI NO NZ OM PG PH PL PT RO RS RU
SC SD SE SG SK SL SM SV SY TJ TM TN TR TT TZ UA UG US UZ VC VN ZA ZM ZW

Regional Designated States,Original: AT BE BG BW CH CY CZ DE DK EA EE ES
FI FR GB GH GM GR HU IE IS IT KE LS LT LU LV MC MT MW MZ NA NL OA PL PT
RO SD SE SI SK SL SZ TR TZ UG ZM ZW

AU 2007297764 A1 EN Based on OPI patent WO 2008036197

EP 2092479 A2 EN PCT Application WO 2007US19948

Based on OPI patent WO 2008036197

Regional Designated States,Original: AL AT BA BE BG CH CY CZ DE DK EE ES
FI FR GB GR HR HU IE IS IT LI LT LU LV MC MK MT NL PL PT RO RS SE SI SK
TR

CN 101595506 A ZH PCT Application WO 2007US19948

Based on OPI patent WO 2008036197

CA 2663624 A1 EN PCT Application WO 2007US19948

PCT national entry CA 2663624

Based on OPI patent WO 2008036197

JP 2010503920 W JA 33 PCT Application WO 2007US19948

Based on OPI patent WO 2008036197

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:

A computerized entity, system and method for limiting
or eliminating counterparty risk for settlement in financial transactions
are described. A central counterparty novates trades between counterparties
and...

...A **computerized** entity, system and method for limiting
or eliminating counterparty risk for settlement in financial transactions
are described. A central counterparty novates trades between counterparties
and...

...A **computerized** entity, system and method for limiting

or eliminating counterparty risk for settlement in financial transactions are described. A central counterparty novates trades between counterparties and...

...A **computerized** entity, system and method for limiting or eliminating counterparty risk for settlement in financial transactions are described. A central counterparty novates trades between counterparties and...

Claims:

...financial instrument of the corresponding matched trade; identifying currently-qualified trades of the first and second novated trades that currently qualify for post-trade pre-**settlement netting** based on criteria including their **settlement** date; and performing post-trade pre-**settlement netting** for the currently-qualified trades, the step of performing including: selecting a first set of trades for netting from the currently-qualified trades based on...

...CLAIM 2] The net settlement computing entity according to claim 1, wherein the step of performing post-trade pre-**settlement netting** includes, repeating the steps of selecting, calculating and substituting based on additional sets of selection criteria, the additional sets of selection criteria including: (a) each...

...CLAIM 3] The net settlement computing entity according to claim 1, wherein the step of performing post-trade pre-**settlement netting** includes sending information for the net trade to a clearing entity...

...CLAIM 4] The net settlement computing entity according to claim 1, wherein the step of performing post-trade pre-**settlement netting** includes sending information for the net trade to the first settlement counterparty...entity according to claim 6, wherein each net-indicator can be changed by the associated counterparty prior to the step of performing post-trade pre-**settlement netting** for the novated trade corresponding with the net-indicator...

...financial instrument of the corresponding matched trade; identifying currently-qualified trades of the first and second novated trades that currently qualify for post-trade pre-**settlement netting** based on criteria including their **settlement** date; and performing post-trade pre-**settlement netting** for the currently-qualified trades, the step of performing including: selecting a first set of trades for netting from the currently-qualified trades based on...

...CLAIM 13] The method according to claim 12, wherein the step of performing post-trade pre-**settlement netting** includes, repeating the steps of selecting, calculating and substituting based on additional sets of selection

criteria, the additional sets of selection criteria including: (a) each financial...

...CLAIM 14] The method according to claim 12, wherein the step of performing post-trade pre-**settlement netting** includes sending information for the net trade to a clearing entity...

...CLAIM 15] The method according to claim 12, wherein the step of performing post-trade pre-**settlement netting** includes sending information for the net trade to the first settlement counterparty...method according to claim 17, wherein each net-indicator can be changed by the associated counterparty prior to the step of performing post-trade pre-**settlement netting** for the novated trade corresponding with the net-indicator...

...financial instrument; novating each of said matched trades into separate trades between a central counterparty and each of said two or more counterparties; performing pre-**settlement netting** for said counterparties; and forwarding to a **settlement** system settlement information including information regarding at least said separate trades, where the separate trades are settled between said central counterparty and each of said...

...first transaction between said first counter party and said clearing and netting system and a second transaction between said second counterparty and said clearing and **netting** system; and a **settlement** system that settles said first transaction and said second transaction...financial instrument of the corresponding matched trade; identifying currently-qualified trades of the first and second novated trades that currently qualify for post-trade pre-**settlement netting** based on criteria including their **settlement** date; and performing post-trade pre-**settlement netting** for the currently-qualified trades, the step of performing including: selecting a first set of trades for netting from the currently-qualified trades based on...

14/3,K/3 (Item 3 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0013204235 - Drawing available
WPI ACC NO: 2003-288485/200328
XRPX Acc No: N2003-229316
Financing trade management method for corporations and financial institutions, involves decomposing original proposed financing trade into

series of decomposed trades

Patent Assignee: BLAUVELT J P (BLAU-I); CURIALLE F J (CURI-I); MORGAN CHASE BANK J P (MORG-N)

Inventor: BLAUVELT J P; CURIALLE F J

Patent Family (2 patents, 1 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 20020188553	A1	20021212	US 2001284158	P	20010416	200328 B
			US 2002123946	A	20020416	
US 7596526	B2	20090929	US 2001284158	P	20010416	200964 E
			US 2002123946	A	20020416	

Priority Applications (no., kind, date): US 2001284158 P 20010416; US 2001284158 P 20010416; US 2002123946 A 20020416

Patent Details

Number Kind Lan Pg Dwg Filing Notes

US 20020188553 A1 EN 12 3 Related to Provisional US 2001284158

US 7596526 B2 EN Related to Provisional US 2001284158

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

...series of forward trades that are netted and settled on future dates; storing the series of decomposed trades in a database; and transmitting, using an **electronic** connection, the series of decomposed trades to the counterparties for **netting** and **settlement**.

14/3,K/4 (Item 4 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0011031118

WPI ACC NO: 2001-657065/200175

XRFX Acc No: N2001-489779

Computer implemented method of managing and monitoring leverage in financial transactions by aggregating total net exposure to financial positions in different markets, determining offsetting collateral and managing leverage

Patent Assignee: UBS AG (UBSU-N)

Inventor: ADKISSON D; MALOV D; RADEMACHER R; MALOV D

Patent Family (4 patents, 94 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
--------	------	------	--------	------	------	--------

WO 2001075739 A2 20011011 WO 2001US10483 A 20010330 200175 B
 AU 200151198 A 20011015 AU 200151198 A 20010330 200209 E
 EP 1272961 A1 20030108 EP 2001924551 A 20010330 200311 E
 WO 2001US10483 A 20010330
 US 7577601 B1 20090818 US 2000193187 P 20000330 200955 E
 US 2000597881 A 20000620

Priority Applications (no., kind, date): US 2000193187 P 20000330; US
 2000597881 A 20000620

Patent Details

Number	Kind	Lang	Pg	Dwg	Filing Notes
WO 2001075739	A2	EN	45	9	
National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW Regional Designated States,Original: AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW AU 200151198 A EN Based on OPI patent WO 2001075739 EP 1272961 A1 EN PCT Application WO 2001US10483 Based on OPI patent WO 2001075739 Regional Designated States,Original: AL AT BE CH CY DE DK ES FI FR GB GR IE IT LI LT LU LV MC MK NL PT RO SE SI TR US 7577601 B1 EN Related to Provisional US 2000193187					

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:

A computerized system and method to manage and monitor
 leverage relating to financial transactions whereby counterparty credit
 risks are enhanced and capital and credit efficiency is promoted...

Claims:

...identified entity, wherein the financial positions are held in multiple
 products and multiple market segments and the aggregate net exposure is
 quantified using cross-product **netting** and cross-
agreement netting; quantifying said
 aggregate net exposure across the identified market segment or segments;
 determining a value for collateral dedicated to offset the exposure; and
 managing leverage...

14/3,K/5 (Item 5 from file: 350)
 DIALOG(R)File 350: Derwent WPIX
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0008194568 - Drawing available

WPI ACC NO: 1997-298307/199727

XRPX Acc No: N1997-246473

Foreign exchange system for real-time multi-lateral settlement system - has settlement coordinator linked to settlement agents that communicate with counter-party settlement agents using cryptographic data transfer, and money modules for **electronic** currency payment and withdrawal

Patent Assignee: CITIBANK NA (CITI-N)

Inventor: ROSEN S S

Patent Family (11 patents, 72 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update
WO 1997019427	A2	19970529	WO 1996US18787	A	19961121	199727 B
AU 199711224	A	19970611	AU 199711224	A	19961121	199740 E
WO 1997019427	A3	19970807	WO 1996US18787	A	19961121	199745 E
US 5774553	A	19980630	US 19957420	P	19951121	199833 E
			US 1996754694	A	19961121	
EP 865642	A2	19980923	EP 1996942047	A	19961121	199842 E
			WO 1996US18787	A	19961121	
AU 703984	B	19990401	AU 199711224	A	19961121	199925 E
US 5978485	A	19991102	US 19957420	P	19951121	199953 E
			US 1996754694	A	19961121	
			US 1998106441	A	19980629	
MX 199803886	A1	19981001	MX 19983886	A	19980515	200019 E
JP 2002510409	W	20020402	WO 1996US18787	A	19961121	200225 E
			JP 1997519928	A	19961121	
CA 2236046	C	20030121	CA 2236046	A	19961121	200309 E
			WO 1996US18787	A	19961121	
MX 225521	B	20050110	WO 1996US18787	A	19961121	200566 E
			MX 19983886	A	19980515	

Priority Applications (no., kind, date): US 19957420 P 19951121; US 1996754694 A 19961121; WO 1996US18787 A 19961121; US 1998106441 A 19980629

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
WO 1997019427	A2	EN	122	29		
National Designated States,Original: AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB GE HU IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK TJ TM TR TT UA UG UZ VN						

Regional Designated States,Original: AT BE CH DE DK EA ES FI FR GB GR IE IT KE LS LU MC MW NL OA PT SD SE SZ UG

AU 199711224 A EN Based on OPI patent WO 1997019427

WO 1997019427 A3 EN

US 5774553 A EN Related to Provisional US 19957420

EP 865642 A2 EN PCT Application WO 1996US18787

Based on OPI patent WO 1997019427

Regional Designated States,Original: AT BE CH DE DK ES FI FR GB GR IE IT

LI LU MC NL PT SE

money from the **third** money modules of net debit CSAs via the second money modules. When all net debit counterparties have paid, the first money module sends the **electronic** money to the **third** money modules of net credit CSAs via the second money modules...

...A realtime multilateral foreign exchange **settlement** system having a computer implemented **netting** system, a **processor**-based multilateral **settlement** coordinator (MSC) having a first money module and a first host application, where the first host application receives debit and credit data from said **netting** system. A plurality of processor-based multilateral **settlement agents** (MSAs) each having a second money module and a second host application. A plurality of processor-based counterparty settlement agents (CSAs) each having a third money module and a third host application. The second and third money modules communicate via cryptographically secure sessions. The first money module receives **electronic** money from the third money modules of net **debit** CSAs via the second money modules. When all net debit counterparties have paid, the first money module sends the **electronic** money to the third money modules of net **credit** CSAs via the second money modules...

...A realtime multilateral foreign exchange **settlement** system having a computer implemented **netting** system, a processor-based multilateral **settlement** coordinator (MSC) having a first money module and a first host application, where the first host application receives debit and credit data from said **netting** system. A plurality of processor-based multilateral **settlement** agents (MSAs) each having a second money module and a second host application. A plurality of processor-based counterparty settlement agents (CSAs) each having a third money module and a third host application. The second and third money modules communicate via cryptographically secure sessions. The first money module receives **electronic** money from the third money modules of net debit CSAs via the second money modules. When all net debit counterparties have paid, the first money module sends the **electronic** money to the third money modules of net credit CSAs via the second money modules...

...A realtime multilateral foreign exchange **settlement** system having a computer implemented **netting** system, a processor-based multilateral **settlement** coordinator (MSC) having a first money module and a first host application, where the first host application receives debit and credit data from said **netting** system. A plurality of processor-based multilateral **settlement** agents (MSAs) each having a second money module and a second host application. A

plurality of processor-based **counterparty settlement** agents (CSAs) each having a third money module and a third host application. The second and third money modules

14/3,K/6 (Item 1 from file: 583)
DIALOG(R)File 583: Gale Group Globalbase(TM)
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09685696
Singapore: RI3K Asia Exchange Throws Down Fast Payment Gauntlet
Singapore: New **automated settlement**
and **netting** system
Asia Insurance Review (AIA) Jan 2002 p.16
Language: ENGLISH

Singapore: New **automated settlement**
and **netting** system

In Singapore, RI3K Asia Exchange has installed an **automated settlement** and **netting** system that is connected to the international and Citibank banking infrastructure. This system allows reinsurers to receive improved cashflow management, brokers to have the correct...

14/3,K/7 (Item 2 from file: 583)
DIALOG(R)File 583: Gale Group Globalbase(TM)
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05898221
Echo network calls Big Four
AUSTRALIA: BIG FOUR CALLED TO JOIN NETWORK
Australia Financial Review (AFR) 15 Oct 1993 P.41
Language: ENGLISH

In Australia, due to start in July 1994 is an international network providing multilateral **netting** and **settlement** & **services in foreign-exchange dealings**. Major banks have been asked to join this network which is set up by a group of European banks led...

PRODUCT: Banking Institutions Electronic Financial Services Sys

14/3,K/8 (Item 3 from file: 583)

DIALOG(R)File 583: Gale Group Globalbase(TM)
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05358261

Cutting risk through FX netting

UK - HOSKYNS WINS **CONTRACT** FOR ECHO

NETTING SERVICE

Banking World (BGW) 0 October 1992 p37

ISSN: 0737-6413

UK - HOSKYNS WINS **CONTRACT** FOR ECHO

NETTING SERVICE

PRODUCT: **Electronic** Banking Services

14/3,K/9 (Item 4 from file: 583)

DIALOG(R)File 583: Gale Group Globalbase(TM)

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05224263

SWIFT clears its vision

BELGIUM - SWIFT TO RE-FOCUS

International Correspondent Banker Newsletter (ICBN) 0 July 1992 p5

... structure, which has resulted in the formation of an operations committee to supervise company activities, and a policy committee responsible for planning. Although SWIFT's **electronic** message growth fell to 10% in 1991, the company's core business accounted for 86% of income, and the firm currently carries out 1.7 mil messages/d. The firm has had its management **contract** for ECU **netting** systems operations extended to July 1997, and the system will be updated in order to deal with volume increases of up to 25%/y.

PRODUCT: Financial Services SoftwareComputer SoftwareData Processing in
Finance SectorComputer Services**Electronic** Banking
Services

14/3,K/10 (Item 5 from file: 583)

DIALOG(R)File 583: Gale Group Globalbase(TM)

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04926509

OCC to offer bilateral netting

N AMERICA - OCC TO LAUNCH BILATERAL NETTING SERVICE
International Correspondent Banker (ICB) 0 February 1992 p7
ISSN: 0953-5632

The Options Clearing Corporation (OCC) is planning to launch a bilateral trade confirmation and **netting** service in foreign exchange after reaching **agreement** with eight N American banks. The service is due to be launched in spring 1992 and will be offered through OCC's Valuenet software system. OCC also plans to introduce a multilateral system, based on **netting** by novation, in 1993. Banks included in the **agreement** are First National Bank of Chicago, Bank of Montreal, Chase Manhattan, National Bank of Canada, Royal Bank of Canada, Bank of Nova Scotia, CIBC and...

PRODUCT: **Electronic** Banking Services

14/3,K/11 (Item 6 from file: 583)
DIALOG(R)File 583: Gale Group Globalbase(TM)
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04818293
First German banks join FX netting scheme
GERMANY - BANKS JOIN SWIFT ACCORD
Financial Technology Bulletin (FTB) 0 December 1991 p8

... the money and foreign exchange markets, and calculates the outstanding net balance between pairs of counterparties. If the counterparties have entered into a legally binding **netting agreement**, the balances can be used as the basis for net payments.

PRODUCT: **Electronic** Banking Services

14/3,K/12 (Item 1 from file: 139)
DIALOG(R)File 139: EconLit
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748023
TITLE: The Structure of Derivatives Exchanges: Lessons from Developed and Emerging Markets
AUTHOR(S): Varangis, Panos; Tsetsekos, George
AUTHOR(S) AFFILIATION: Unlisted; Unlisted
PUBLICATION INFORMATION: The World Bank, Policy Research Working Paper Series: 1887

PUBLICATION DATE: 1999
LANGUAGE: English
AVAILABILITY: <http://econ.worldbank.org/docs/861.pdf>
DOCUMENT TYPE: Working Paper
ABSTRACT INDICATOR: Abstract

...ABSTRACT: their own regulatory structure. Typically (but not always) market-making systems are based on open outcry, with daily mark-to-market and gross margining-but **electronic** systems are gaining popularity. Several (but not all) exchanges own clearing facilities and use **netting** **settlement** procedures. As for derivative products traded, they find that: Although most of the older exchanges started with (mainly agricultural) commodity derivatives, newer exchanges first introduce...

17/3,K/1 (Item 1 from file: 347)
DIALOG(R)File 347: JAPIO
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07162219 **Image available**
GRAVEL PITCHING (GINGKO APPLICATION, SCALE APPLICATION) OF PIN ROLLER

PUB. NO.: 2002-030603 [JP 2002030603 A]
PUBLISHED: January 31, 2002 (20020131)
INVENTOR(s): NIGEME HIDEMASA
APPLICANT(s): HOTSUMA KOBO KK
APPL. NO.: 2000-245679 [JP 2000245679]
FILED: August 14, 2000 (20000814)
PRIORITY: 2000-180558 [JP 2000180558], JP (Japan), May 12, 2000
(20000512)

ABSTRACT

...of each of curve groups and its rule concerning the magatame application and spiral application as pin roller arrangement endurable for appreciation and rich in **changes** are shown. An example of the magatama application by this rule is shown in a drawing 1. It is possible for anyone to easily pitch gravels by using the proposed rule at a working site. Additionally, a **netting** engineering method is shown in countermeasures for differential **settlement** of the pin rollers.

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17/3,K/2 (Item 2 from file: 347)
DIALOG(R)File 347: JAPIO
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06920418 **Image available**

METHOD AND DEVICE FOR CONTROLLING TRANSACTION CONCERNING EXPOSURE
CALCULATION OF BATCH ACCOUNT **SETTLEMENT**
NETTING FOR FINANCIAL PROPERTY BASED ON MASTER
CONTRACT ARTICLES AND COMPUTER READABLE RECORDING MEDIUM
WITH RECORDED TRANSACTION CONTROL PROGRAM

PUB. NO.: 2001-147956 [JP 2001147956 A]

PUBLISHED: May 29, 2001 (20010529)

INVENTOR(s): TAKAI KUNIHICO

APPLICANT(s): HITACHI LTD

APPL. NO.: 11-329329 [JP 99329329]

FILED: November 19, 1999 (19991119)

METHOD AND DEVICE FOR CONTROLLING TRANSACTION CONCERNING EXPOSURE
CALCULATION OF BATCH ACCOUNT **SETTLEMENT**
NETTING FOR FINANCIAL PROPERTY BASED ON MASTER
CONTRACT ARTICLES AND COMPUTER READABLE RECORDING MEDIUM
WITH RECORDED TRANSACTION CONTROL PROGRAM

ABSTRACT

PROBLEM TO BE SOLVED: To speedily perform batch account
settlement netting processing in the
default of a client and to enable a precise and delicate credit risk
managing job based on real work.

SOLUTION: Credit limit...

... exceeds a client unit credit limit amount or not and when the exposure
exceeds the credit limit amount, novel contract registering processing or
transaction content **change** with the increase of the net
exposure is inhibited to a user.

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17/3,K/3 (Item 3 from file: 347)
DIALOG(R)File 347: JAPIO
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06061867 **Image available**

SYSTEM FOR JUDGING NETTING PROCESSING

PUB. NO.: 11-003374 [JP 11003374 A]

PUBLISHED: January 06, 1999 (19990106)

INVENTOR(s): IKEDA CHIHARU
KIKUCHI YOSHITOMO

KAWAKAMI YUJI
APPLICANT(s): HITACHI LTD
APPL. NO.: 09-153315 [JP 97153315]
FILED: June 11, 1997 (19970611)

ABSTRACT

... the increment of debts in each enterprise by judging whether netting processing is to be executed or not based on settlement defined data and previously **adjusted** data and informing both the payment side and receiving side of the execution/non-execution of netting processing.

SOLUTION: A payment data transmitter/receiver Ai111 transfers **settlement** defined data to a **netting** processing execution part 121. The execution part 121 judges whether netting processing for calculating clearing balance based on a threshold previously stored in a threshold...

17/3,K/4 (Item 1 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0020090075 - Drawing available
WPI ACC NO: 2010-A30019/201016

Embedded type blind curtain fabric manufacturing method for window of building, involves forming bar insertion hole in end part of shield, performing weaving process for **settlement** part, and weaving **netting** thread and **settlement** part

Patent Assignee: KIM D S (KIMD-I)
Inventor: KIM D S
Patent Family (1 patents, 1 countries)
Patent Application

Number	Kind	Date	Number	Kind	Date	Update
KR 932651	B1	20091221	KR 20096823	A	20090129	201016 B

Priority Applications (no., kind, date): KR 20096823 A 20090129

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
KR 932651	B1	KO	7	4		

Embedded type blind curtain fabric manufacturing method for window of building, involves forming bar insertion hole in end part of shield, performing weaving process for **settlement** part, and weaving **netting** thread and **settlement** part

Alerting Abstract ...NOVELTY - The method involves weaving a netting thread, and providing a weft of a shield in a slope of the **netting** thread. A **settlement** part is fabric woven, and the **netting** thread is separated from the shield. The **settlement** part is connected to the **netting** thread to cover the netting thread. An uncertain film is fabric woven, and a bar insertion hole is formed in an end part of the shield. A weaving process is performed for the **settlement** part, and the **netting** thread and the **settlement** part are fabric woven....
ADVANTAGE - The method **adjusts** the shield, avoids the deflection phenomenon of the shield, and facilitates a manufacturing process...

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:

...the end part of shield, **weft** is not picked in the again merged state and the beating a process of **weaving** the double face the **settlement** part (4a) it meets with the **netting** thread (3) in which the constant width is fabric woven the idle blow done is implemented is repeated and it is the blind, (1) is...

Claims:

...weaving the netting thread (3), after the weft (7b) of the shield (5) is picked to the double face in the slope (7c) of the **netting** thread (3) and the uncertain **settlement** part (4) is fabric woven, the **netting** thread (3) and shield (5) being separated and at the same time being fabric woven; while implementing the idle blow in which does not pick 1~5 time **weft** and which subsides the beating, weaving constant width (for the **settlement** part (4) and **settlement** part (4a)) to the **netting** thread (3); in the shield (5) is the **settlement** part (4), in order to completely cover the **netting** thread (3) while the **weft** (7b) of 75~3000 denier / 1~36 filament being picked to the state discrete from the netting thread (3) and...

...the double face the settlement part (4a) the idle blow which does not pick is met with the next which the next do, and the **netting** thread (3) in which constant width (for the **settlement** part (4) and settlement part (4a)) are fabric woven is repeated...

...while weaving the netting thread (3), after the weft (7b) of the shield (5) is picked to the double face in the slope (7c) of the **netting** thread (3) and the uncertain **settlement** part (4) is fabric woven, the **netting** thread (3) and shield (5) are separated and it

17/3,K/5 (Item 2 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0010812573 - Drawing available
WPI ACC NO: 2001-429331/200146
XRPX Acc No: N2001-318774

Transaction control procedure in financial institutions, involves prohibiting novel agreement registration with user or contract **modification**, when contract net exposure is judged to exceed credit limit

Patent Assignee: HITACHI LTD (HITA)

Inventor: TAKAI K

Patent Family (1 patents, 1 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
JP 2001147956	A	20010529	JP 1999329329	A	19991119	200146 B

Priority Applications (no., kind, date): JP 1999329329 A 19991119

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
JP 2001147956	A	JA	10	8		

Transaction control procedure in financial institutions, involves prohibiting novel agreement registration with user or contract **modification**, when contract net exposure is judged to exceed credit limit

Original Titles:

METHOD AND DEVICE FOR CONTROLLING TRANSACTION CONCERNING EXPOSURE
CALCULATION OF BATCH ACCOUNT **SETTLEMENT**
NETTING FOR FINANCIAL PROPERTY BASED ON MASTER
CONTRACT ARTICLES AND COMPUTER READABLE RECORDING MEDIUM
WITH RECORDED TRANSACTION CONTROL PROGRAM

Alerting Abstract ...NOVELTY - Credit limit information of master **contract** is stored in a file (109).

Netting information is generated based on master

contract information in file (107). Exposure information for each agreement is generated based on agreement information and marked information stored in respective files (105,106). The master contract exposure is computed based on net information and exposure information. The novel agreement registration process or transaction contract **modification** accompanied by increase in net exposure is prohibited to user, when net exposure exceeds credit limit.

Title Terms.../Index Terms/Additional Words: **MODIFIED**;

Original Publication Data by Authority
Argentina

17/3,K/6 (Item 3 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0010708872 - Drawing available
WPI ACC NO: 2001-319566/200134
XRPX Acc No: N2001-229749
Risk and exposure management system for financial institutions has user interface and modeling engine of fixed test sequence to determine eligibility of proposed transaction
Patent Assignee: GE INFORMATION SERVICES LTD (GENE); SUNGARD SOFTWARE INC (SUNG-N)
Inventor: BELL G
Patent Family (3 patents, 82 countries)
Patent Application
Number Kind Date Number Kind Date Update
GB 2354608 A 20010328 GB 199922589 A 19990923 200134 B
WO 2001022305 A2 20010329 WO 2000GB3671 A 20000925 200134 E
AU 200074367 A 20010424 AU 200074367 A 20000925 200141 E

Priority Applications (no., kind, date): GB 199922589 A 19990923

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
GB 2354608	A	EN	13	13		
WO 2001022305	A2	EN				

International Designated States,Original: AE AL AU BA BB BG BR CA CN CR CU CZ DM EE GD GE GH GM HR HU ID IL IN IS JP KP KR LC LK LR LT LU LV MA MD MG MK MN MX NO NZ PL RO RU SG SI SK TR TT TZ UA UG US UZ VN YU ZA ZW
Regional Designated States,Original: AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW
AU 200074367 A EN Based on OPI patent WO 2001022305

Alerting Abstract ...NOVELTY - A server (2) receives pre-deal limit check, exposure **update** and violation alert data. Each rule in the test execution sequence that requires data access is coded with the address of the relevant table. The...

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:

In a financial risk and exposure management system (1) a server (2) receives pre-deal limit check, exposure < B> update, and violation alert **data** in real time from remote dealing systems (4). A database (3) stores static tables of data including master agreement data. Dynamic tables of data including details of existing **netting agreements** are linked **with the** master tables. The server (2) executes a modelling engine (13) to apply a series of validity tests for a proposal vis-a-vis a stored **netting agreement**. It then automatically calculates **exposure**.

Claims:

17/3,K/7 (Item 1 from file: 35)
DIALOG(R)File 35: Dissertation Abs Online
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01878077 ORDER NO: AADAA-I3046980
Cows, kin, and capitalism: The cultural ecology of Viliui Sakha in the post-socialist era (Russia)
Author: Crate, Susan Alexandra
Degree: Ph.D.
Year: 2002
Corporate Source/Institution: The University of North Carolina at Chapel Hill (0153)
Source: VOLUME 63/03-A OF DISSERTATION ABSTRACTS INTERNATIONAL.
PAGE 1021. 571 PAGES
ISBN: 0-493-60953-9

...keeping cows and relying on kin. One of the basic tenets of cultural ecologist Robert Netting's smallholder-householder theory is that in times of **change**, the household system is the most resilient unit due to specific qualities including intimate ecological knowledge and implicit labor **contracts**. This study adds additional verification to **Netting's** theories and also expands his study group, formerly focused on intensive agriculturalists, to include agropastoralist peoples.

This study helps define processes of household adaptation...

17/3,K/8 (Item 2 from file: 35)

DIALOG(R)File 35: Dissertation Abs Online
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01383085 ORDER NO: AAD94-33321
STUDIES ON CENTRAL BANK OPERATIONS AND PAYMENT MECHANISMS (ITALY, UNITED STATES)

Author: ANGELINI, PAOLO

Degree: PH.D.

Year: 1994

Corporate Source/Institution: BROWN UNIVERSITY (0024)

Source: VOLUME 55/07-A OF DISSERTATION ABSTRACTS INTERNATIONAL.

PAGE 2080. 105 PAGES

...in 1914 and its impact on the behavior of short-term interest rates are addressed in the first chapter. Evidence is presented showing that no **change** of regime can be detected in the process governing time loan rates in the years straddling the foundation of the Fed. Since the behavior of this process did **change** during 1910-1920, I discuss some historical events and institutional **changes** in the New York Money Market that affected the behavior of interest rates.

Since interbank payments processed through **netting** systems become irrevocable only after end-of-day **settlement**, a bank's settlement failure may propagate to its direct creditors, thereby triggering a "domino effect". The second chapter assesses systemic risk in the Italian...
...in the Italian system and to structural differences between the latter and the US system.

Following the ongoing debate on risks in payment systems, gross **settlement** systems are increasingly considered as an alternative to **netting**. In these systems each transaction is settled in real time during the day via an exchange of monetary base, without preliminary netting; thus, risk is...

17/3,K/9 (Item 1 from file: 139)
DIALOG(R)File 139: EconLit
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937860
TITLE: The Evolution of U.S. Insolvency Law for Financial Market Contracts
AUTHOR(S): Krimminger, Michael
AUTHOR(S) AFFILIATION: FDIC
JOURNAL NAME: Journal of Financial Transformation,
JOURNAL VOLUME & ISSUE: 0 18,
PAGES: 79-87
PUBLICATION DATE: 2006
LANGUAGE: English

AVAILABILITY:

<http://www.capco.com/?q=content/journal-of-financial-transformation>

ISSN: 1755-361X

DOCUMENT TYPE: Journal Article

ABSTRACT INDICATOR: Abstract

ABSTRACT: The enactment of the Bankruptcy Abuse Prevention and Consumer Protection Act of 2005 was the most significant change to the United States' insolvency laws for the financial markets in more than fifteen years. The 2005 Bankruptcy Reform Act, however, was not a new direction in American law. The special protections provided to termination and close-out **netting** for capital markets **contracts** in the new amendments simply continued an evolutionary process in American insolvency law that started with the enactment of the new Bankruptcy Code in 1978...

17/3,K/10 (Item 2 from file: 139)

DIALOG(R)File 139: EconLit

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820605

TITLE: An analysis of systemic risk in alternative securities settlement architectures

AUTHOR(S): Iori, Giulia

AUTHOR(S) AFFILIATION: Department of Mathematics, Kings College Strand, London WC2R 2LS, United Kingdom.

PUBLICATION INFORMATION: European Central Bank, Working Paper Series: 404

PAGES: 27 pages

PUBLICATION DATE: 2004

LANGUAGE: English

AVAILABILITY: <http://www.ecb.int/pub/pdf/scpwps/ecbwp404.pdf>

DOCUMENT TYPE: Working Paper

ABSTRACT INDICATOR: Abstract

ABSTRACT: This paper compares securities **settlement** gross and **netting** architectures. It studies **settlement** risk arising from exogenous operational delays and compares settlement failures between the two architectures as functions of the length of the settlement interval under different ...

...DESCRIPTOR(S) (1991 to Present): G200); Technological

Change: Choices and Consequences; Diffusion Processes...

17/3,K/11 (Item 3 from file: 139)
DIALOG(R)File 139: EconLit
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674221

TITLE: The Credit Risk Components of a Swap Portfolio
AUTHOR(S): Hubner, Georges
AUTHOR(S) AFFILIATION: U Liege and U Maastricht
JOURNAL NAME: Journal of Futures Markets,
JOURNAL VOLUME & ISSUE: 24 1,
PAGES: 93-115
PUBLICATION DATE: 2004
LANGUAGE: English
AVAILABILITY: <http://www3.interscience.wiley.com/cgi-bin/jhome/34434>
ISSN: 0270-7314
DOCUMENT TYPE: Journal Article
ABSTRACT INDICATOR: Abstract

...ABSTRACT: has become possible. Using the model developed by Hubner ([2001]) for IRS and CS, this article investigates the impact of structural and temporary credit risk changes on swap prices. It emphasizes that large variations in swap values and sensitivities may exist depending on the sources of credit risk differences between the counterparties. This phenomenon is stronger for CS because of the exchange of principal and an additional correlation risk that exhibits a nonnegligible impact on the **contract** value. The influence of a **netting** master **agreement** also can be analyzed for a wide range of initial contract values and netted notional. The results confirm the hedging properties put forward by Duffie...

17/3,K/12 (Item 4 from file: 139)
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652332

TITLE: The Choice among Interbank Settlement Systems: The European Experience
AUTHOR(S): Baglioni, Angelo; Hamaui, Rony
AUTHOR(S) AFFILIATION: Catholic U Milan; Catholic U Milan and Banca Intesa, Milan
JOURNAL NAME: Economic Notes,

JOURNAL VOLUME & ISSUE: 32 1,

PAGES: 67-100

PUBLICATION DATE: 2003

LANGUAGE: English

AVAILABILITY:

<http://www3.interscience.wiley.com/journal/118504771/home?CRETRY=1&SRETRY=0>

ISSN: 0391-5026

DOCUMENT TYPE: Journal Article

ABSTRACT INDICATOR: Abstract

...ABSTRACT: paper addresses the choice of banks between alternative channels for interbank payments. The conventional view assumes a tradeoff between the safety of real-time gross **settlement** (RTGS) and the liquidity savings of multilateral **netting**. Moreover, correspondent banking is believed to be inefficient, both in terms of liquidity and of administrative costs. In the last decade, however, the impulse of the Committee on Payment and Settlement Systems, technological **changes** and the management of RTGS systems by central banks have reduced the difference between the various systems. This is especially true for risk, whereas liquidity...

20/3,K/1 (Item 1 from file: 65)

DIALOG(R)File 65: Inside Conferences

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02038123 INSIDE CONFERENCE ITEM ID: CN021219135

Netting and Settlement

Cranston, R.

CONFERENCE: New prudential regulation of financial intermediaries-Seminar
P: 195-208

London, Boston, Kluwer Law International, 1995

ISBN: 9041108823

LANGUAGE: English DOCUMENT TYPE: Conference Papers

CONFERENCE EDITOR(S): Ferrarini, G.

CONFERENCE SPONSOR: University of Siena Centre for European and
International Financial Law

CONFERENCE LOCATION: Siena, Italy

CONFERENCE DATE: Nov 1994 (199411)

Netting and Settlement

DESCRIPTORS: prudential regulation; financial intermediaries; banks;
securities firms; international financial **law**

20/3,K/2 (Item 1 from file: 474)

DIALOG(R)File 474: New York Times Abs

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05794298 NYT Sequence Number: 173929900627

MEASURE AIDS SWAP MARKET

New York Times, Col. 4, Pg. 14, Sec. D

Wednesday June 27 1990

ABSTRACT:

New **law** amending bankruptcy **laws** now requires bankruptcy courts to recognize validity of certain **agreements**, known as **netting agreements**, used by banks and other institutions in interest rate and currency swap markets; **law** had support of Federal banking regulators and was proposed by International Swap Dealers Association (S)

CORRECTION:

DESCRIPTORS: BANKS AND BANKING; BANKRUPTCIES; **LAW** AND LEGISLATION

20/3,K/3 (Item 1 from file: 475)

DIALOG(R)File 475: Wall Street Journal Abs

(c) 2010 The New York Times. All rights reserved.

07909399 NYT Sequence Number: 000000960802

SEC EXPANDS ROLE OF CLEARING FIRM FOR INTERDEALER BROKERS IN REPO MARKET

connor, john

Wall Street Journal, Col. 1, Pg. 11C, Sec. A

Friday August 2 1996

ABSTRACT:

SEC approves **rule** further expanding role of Government Securities Clearing Corp, allowing interbroker dealers to use GSCC's new **netting** service for repurchase and reverse repurchase (repo) **agreements** (M)

CORRECTION:

20/3,K/4 (Item 1 from file: 139)

DIALOG(R)File 139: EconLit

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1012246

TITLE: Derivatives and Systemic Risk: Netting, Collateral, and Closeout
AUTHOR(S): Bliss, Robert R.; Kaufman, George G.
AUTHOR(S) AFFILIATION: Wake Forest U and Federal Reserve Bank of Chicago;
Federal Reserve Bank of Chicago and Loyola U Chicago
JOURNAL NAME: Journal of Financial Stability,
JOURNAL VOLUME & ISSUE: 2 1,
PAGES: 55-70
PUBLICATION DATE: 2006
LANGUAGE: English
AVAILABILITY: <http://www.sciencedirect.com/science/journal/15723089>
ISSN: 1572-3089
DOCUMENT TYPE: Journal Article
ABSTRACT INDICATOR: Abstract

ABSTRACT: In the U.S., as in most countries with well-developed securities markets, derivative securities enjoy special protections under insolvency resolution laws. Most creditors are "stayed" from enforcing their rights while a firm is in bankruptcy. However, many derivatives **contracts** are exempt from these stays. Furthermore, derivatives enjoy **netting** and closeout, or termination, privileges which are not always available to most other creditors. The primary argument used to motivate passage of legislation granting these...

...DESCRIPTOR(S) (1991 to Present): G330); Corporation and Securities
Law (...)

...K220); Bankruptcy; Derivatives; Financial Market; Firm; Insolvency;
Law; Securities

20/3,K/5 (Item 2 from file: 139)
DIALOG(R)File 139: EconLit
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540559
TITLE: Statement to the U.S. House Committee on Banking and Financial Services
AUTHOR(S): Parkinson, Patrick M.
AUTHOR(S) AFFILIATION: Board of Governors, Federal Reserve System
JOURNAL NAME: Federal Reserve Bulletin,
JOURNAL VOLUME & ISSUE: 86 9,
PAGES: 646-48
PUBLICATION DATE: 2000
LANGUAGE: English
AVAILABILITY: <http://www.federalreserve.gov/pubs/bulletin/default.htm>
ISSN: 0014-9209
DOCUMENT TYPE: Journal Article
ABSTRACT INDICATOR: Abstract

ABSTRACT: Patrick M. Parkinson presents additional testimony on HR. 4541, including the provisions of H.R. 1161, which would amend the U.S. Bankruptcy Code to support financial **contract netting**, and states that enactment of those amendments would reduce uncertainty for market participants about the disposition of their financial market contracts in the event one of the counterparties becomes insolvent. He testifies further that the Board urges the amendment of H.R. 4541 to include the financial **contract netting** provisions of H.R. 1161 (Testimony before the House Committee on Banking and Financial Services, July 19, 2000).

20/3,K/6 (Item 3 from file: 139)
DIALOG(R)File 139: EconLit
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533810

TITLE: Statement to the U.S. House Committee on Banking and Financial Services, April 11, 2000
AUTHOR(S): Parkinson, Patrick M.
AUTHOR(S) AFFILIATION: Federal Reserve Board
JOURNAL NAME: Federal Reserve Bulletin,
JOURNAL VOLUME & ISSUE: 86 6,
PAGES: 404-05
PUBLICATION DATE: 2000
LANGUAGE: English
AVAILABILITY: <http://www.federalreserve.gov/pubs/bulletin/default.htm>
ISSN: 0014-9209
DOCUMENT TYPE: Journal Article
ABSTRACT INDICATOR: Abstract

...ABSTRACT: President's Working Group on Financial Markets. He testifies that the Board supports the Working Group's recommendation for amendments to the U.S. Bankruptcy Code to support financial **contract netting** and also supports the recommendation that the very largest hedge funds be required to publicly disclose information about their financial activities; he also states that...

20/3,K/7 (Item 4 from file: 139)
DIALOG(R)File 139: EconLit
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469928

TITLE: Principles of banking **law**

AUTHOR(S): Cranston, Ross

PUBLICATION INFORMATION: Oxford and New York: Oxford University Press,
Clarendon Press, PAGES: iii, 515

PUBLICATION DATE: 1997

LANGUAGE: English

ISBN: 0-19-876484-7, cloth; 0-19-876483-9, pbk

DOCUMENT TYPE: Book

ABSTRACT INDICATOR: Abstract

TITLE: Principles of banking **law**

ABSTRACT: Offers a new framework for the subject of banking **law**, taking as given the modern world of the multifunctional bank with international operations. Discusses banking and bank organizations; interbank networks; bank regulation; central banking; the banker-customer relationship; the duty of confidentiality; advisory and transactional liability; principles of payment; payment methods; **settlement**, clearing, and **netting**; lending; banks and the capital markets; loan sales and securitization; trade finance; security; international banking; and cross-border banking. Cranston is Cassel Professor of Commercial **Law** at the London School of Economics and Political Science. Index.

...DESCRIPTOR(S) (1991 to Present): G210); Regulation and Business **Law**: Other...

...K290); Bank; Banking; Finance; **Law**; Lending

20/3,K/8 (Item 5 from file: 139)

DIALOG(R)File 139: EconLit

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397304

TITLE: Collateralization of Derivative Transactions in Japan: A Comparison of Two Methods

AUTHOR(S): Sakamoto, Tetsuya

AUTHOR(S) AFFILIATION: Bank of Japan

JOURNAL NAME: Monetary and Economic Studies,

JOURNAL VOLUME & ISSUE: 13 2,

PAGES: 75-88

PUBLICATION DATE: 1995

LANGUAGE: English

AVAILABILITY: <http://www.imes.boj.or.jp/english/publication/mes/mes01.html>

ISSN: 0288-8432

DOCUMENT TYPE: Journal Article

ABSTRACT INDICATOR: Abstract

...ABSTRACT: the legal issues surrounding collateralization of derivative transactions in Japan. Collateralization is a new financial technique of credit risk management which complements a close-out netting **agreement**. The author describes two possible methods of collateralization under Japanese **law** and examines their characteristics.

20/3,K/9 (Item 6 from file: 139)
DIALOG(R)File 139: EconLit
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263268

TITLE: Statement to the U.S. House Committee on Agriculture, September 11, 1991

AUTHOR(S): Ireland, Oliver

AUTHOR(S) AFFILIATION: Federal Reserve System

JOURNAL NAME: Federal Reserve Bulletin,

JOURNAL VOLUME & ISSUE: 77 11,

PAGES: 895-896

PUBLICATION DATE: 1991

LANGUAGE: English

AVAILABILITY: <http://www.federalreserve.gov/pubs/bulletin/default.htm>

ISSN: 0014-9209

DOCUMENT TYPE: Journal Article

ABSTRACT INDICATOR: Abstract

...ABSTRACT: System Risk Reduction and says that the Board strongly supports provisions contained in H.R.6 that are designed to confirm the validity of contractual agreements providing for the **netting** of payment obligations between and among financial institutions.

...DESCRIPTOR(S) (1991 to Present): G280); Corporation and Securities **Law** (

IV. Fulltext Files from Dialog

A. Fulltext Databases

- File 625: American Banker Publications 1981-2008/Jun 26
(c) 2008 American Banker
- File 268: Banking Info Source 1981-2010/Mar W1
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- File 626: Bond Buyer Full Text 1981-2008/Jul 07
(c) 2008 Bond Buyer
- File 267: Finance & Banking Newsletters 2008/Sep 29
(c) 2008 Dialog
- File 324: GERMAN PATENTS FULLTEXT 1967-201003
(c) 2010 UNIVENTIO/THOMSON
- File 348: EUROPEAN PATENTS 1978-201010
(c) 2010 European Patent Office
- File 349: PCT FULLTEXT 1979-2010/UB=20100311|UT=20100304
(c) 2010 WIPO/Thomson
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(c) 2010 Gale/Cengage
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(c) 2010 Gale/Cengage
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(c) 2010 PR Newswire Association Inc
- File 621: Gale Group New Prod. Annou.(R) 1985-2010/Jan 27
(c) 2010 Gale/Cengage
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(c) 2010 McGraw-Hill Co. Inc
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(c) 1999 Business Wire
- File 813: PR Newswire 1987-1999/Apr 30
(c) 1999 PR Newswire Association Inc

? ds

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S1 2984 NETTING(8N)(CONTRACT OR CONTRACTS OR AGREEMENT OR AGREEMENTS)
S2 3062 (SETTLEMENT OR CONTRACT OR CONTRACTS)(8N)NETTING
S3 252811 (AUTOMATED OR COMPUTERIS? OR COMPUTERIZ? OR ELECTRONIC)(5N-
)(ANALYSIS OR ASSESS? OR MEASUR? OR EVALUAT?)
S4 132522 (AUTOMATED OR COMPUTERIS? OR COMPUTERIZ? OR ELECTRONIC)(5N-
)(UPDAT? OR MODIF? OR ADJUST? OR UP()(DATE? ? OR DATING) OR C-
HANGE OR CHANGES OR CHANING OR DELETE OR DELETES OR DELETING -
OR EDIT OR EDITS OR EDITING)
S5 29739679 QUALIFICATION? OR ENFORC? OR CONFIDENCE OR ISSUE? ?
S6 96011 (RULE OR RULES OR LAW OR LAWS OR CODE OR CODES)(8N)(DB OR -
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S9 5 S8(S)(S3 OR S4)
S10 5 RD (unique items)
S11 2 S10(S)S5
S12 0 S10 AND S6
S13 47 S8(S)(DB OR DATABASE? OR DATAFILE? OR DATA()(BASE OR BASES
OR FILE OR FILES))
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S15 12 S14(S)(RULE OR RULES OR LAW OR LAWS OR CODE OR CODES)
S16 7 S15(S)S5
S17 28 S13(S)(UPDAT? OR MODIF? OR ADJUST? OR UP()(DATE? ? OR DATI-
NG) OR CHANGE OR CHANGES OR CHANGING OR DELETE OR DELETES OR -
DELETING OR EDIT OR EDITS OR EDITING)
S18 24 RD (unique items)
S19 12 S18 NOT PY> 2002
S20 0 S7(S)S8

10/3,K/1 (Item 1 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00942470

DATA STORAGE SYSTEM

SYSTEME DE STOCKAGE DE DONNEES

Patent Applicant/Assignee:

THE DEPARTMENT OF NATURAL RESOURCES AND ENVIRONMENT FOR AND ON BEHALF OF
THE CROWN IN RIGHT OF THE STATE OF VICTORIA, 8 Nicholson Street, East
Melbourne, Victoria 3002, AU, AU (Residence), AU (Nationality), (For
all designated states except: US)

Patent Applicant/Inventor:

BARRY John Patrick, 17 Greenslopes Drive, Carrum Downs, Victoria 3201, AU
, AU (Residence), AU (Nationality), (Designated only for: US)

Legal Representative:

GRIFFITH HACK (agent), 509 St Kilda Road, Melbourne, Victoria 3004, AU,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200275618 A1 20020926 (WO 0275618)

Application: WO 2002AU320 20020320 (PCT/WO AU0200320)

Priority Application: AU 20013849 20010320

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ
EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR
LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SD SE SG SI
SK SL TJ TM TN TR TT TZ UA UG US UZ VN YU ZA ZM ZW
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 27203

Fulltext Availability:

Detailed Description

Detailed Description

... further amendments, even if
agreed by the parties, can be made to the Coversheet from
that point on,

Only at that time specified does the **Settlement**
Manager

begin its checking and **netting** processes. If completed
satisfactorily, lists of payments and the net position of
the financial institutions involved are passed to the
Financial Settlement Manager so that...

...Office,

lodging fees payable to Land Registry and of course the
funds required to discharge the mortgages, if any, and the
balance of funds, after **adjustments**, to the vendor.

Where an **electronic** bank receipt is in use, the
details of
the financial instrument, embodied in electronic
conveyancing as an electronic bank receipt are uploaded,
after lodgement of...

10/3,K/2 (Item 2 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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00843142

LEVERAGE MARGIN MONITORING AND MANAGEMENT

SURVEILLANCE ET GESTION DU TAUX D'ENDETTEMENT

Patent Applicant/Assignee:

UBS AG, 677 Washington Boulevard, Stamford, CT 06901, US, US (Residence),
US (Nationality)

Inventor(s):

RADEMACHER Robert, 8 Londonerry Lane, Lincolnshire, IL 60069, US,
ADKISSON David, 601 Hillside Road, Glenview, IL 60025, US,
MALOV David, 126 Kelbuzne Avenue, SleepyHollow, NY 10591, US,

Legal Representative:

KINCART Joseph P (agent), Clifford Chance Rogers & Wells LLP, 200
Park Avenue, New York, NY 10166, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200175739 A2 20011011 (WO 0175739)

Application: WO 2001US10483 20010330 (PCT/WO US0110483)

Priority Application: US 2000193187 20000330; US 2000597881 20000620

Designated States:

(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ
EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS
LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ
TM TR TT TZ UA UG UZ VN YU ZA ZW
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 9750

Fulltext Availability:

Detailed Description

Detailed Description

... 0 and quantifying an aggregate exposure for the identified entity 1 1

1. Quantifying an aggregate exposure 1 1 1 can include cross entity

exposure **netting**, cross product

netting and cross **agreement**

netting. Based upon the aggregate exposure 1 1 1, a

determination can be made as to the amount of collateral needed to offset
the exposure 112...

...and other credits to offset the aggregate exposure. A computerized
system can be used to continually monitor and manage the leverage
position 114, wherein the **computerized** system
continually receives information **updating** various
positions included in the exposure.

An entity 1 1 0 can include a corporation, partnership, company,
individual, volume purchase group or association formed to...

10/3,K/3 (Item 1 from file: 20)
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54645620
HSBC Holdings PLC - HSBC USA Inc 06 10-K Pt 1b/10
AFX CNF
March 05, 2007
JOURNAL CODE: WCNF LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 20103

... and trends. Rating methodology is based upon a wide range of financial analytics together with market data-based tools which are core inputs to the **assessment** of counterparty risk. Although **automated** risk-rating processes are increasingly in use, for the larger facilities ultimate responsibility for setting risk grades rests in each case with the final approving...

10/3,K/4 (Item 1 from file: 15)
DIALOG(R)File 15: ABI/Inform(R)
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02333277 102128825
Insolvency law and close-out netting in Greece: A case for legal reform
Papathanassiou, Chryssa
Journal of International Banking Regulation v3n3 PP: 291-296 Dec 2001
ISSN: 1465-4830 JRNL CODE: JIBR
WORD COUNT: 2934

...TEXT: enforceable in the case of bankruptcy of Greek counterparties. Therefore, a legal reform is imperative in order to provide transparency for complex financial products with **computerised**, almost instant, price **adjustments**. With a number of EU legal acts on winding-up waiting to be transposed into national law, the legislator should take the opportunity to recognise close-out **netting** in the context of master **agreements** with credit institutions.

INTRODUCTION

Market associations have not yet provided any legal opinion for the European Master Agreement (EMA), sponsored by the Banking Federation of...

10/3,K/5 (Item 2 from file: 15)
DIALOG(R)File 15: ABI/Inform(R)
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01992245 48260632
Into the new millennium
Anonymous
International Securities Lending PP: 26-40 First Quarter 2000
ISSN: 0964-9301 JRNL CODE: ISL
WORD COUNT: 8629

TEXT: As the euro repo market celebrates its first birthday, market participants gather together to **evaluate** its progress.
"at with **electronic** trading, **netting**
and a new standard **agreement**, it has been an eventful year. This roundtable is edited by Sarah Best

Andrew Capon, International Securities Lending. An inevitable place to begin the discussion...

11/3,K/1 (Item 1 from file: 20)
DIALOG(R)File 20: Dialog Global Reporter
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54645620
HSBC Holdings PLC - HSBC USA Inc 06 10-K Pt 1b/10
AFX CNF
March 05, 2007
JOURNAL CODE: WCNF LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 20103

... other things, the following: local country claims funded by non-local country obligations (U.S. dollar or other non-local currencies), principally certificates of deposit **issued** by a foreign branch, where the providers of funds agree that, in the event of the occurrence of a sovereign default or the imposition of...8,305 Securities lending indemnifications -- -- -- -- 4,135 -----
----- Total -----
... \$ 49,424 \$ 283,646 \$ 172,112 \$ 505,182 \$ 293,072 =====
===== (1) Includes \$542 million and \$523 million **issued** for the benefit of HSBC affiliates at December 31, 2006 and 2005, respectively. (2) \$7 million of this amount is indemnified by HSBC affiliates at December 31, 2006 and 2005. (3) Includes \$71,908 million and \$51,202 million **issued** for the benefit of HSBC affiliates at December 31, 2006 and 2005, respectively. Letters of Credit HUSI may **issue** a letter of credit for

the benefit of a customer, authorizing a third party to draw on the letter for specified amounts under certain terms and conditions. The issuance of a letter of credit is subject to HUSI's credit approval process and collateral requirements. HUSI **issues** two types of letters of credit, commercial and standby. o A commercial letter of credit is drawn down on the occurrence of an expected underlying...

... commercial letter of credit is recorded as a customer acceptance in other assets and other liabilities until settled. o A standby letter of credit is **issued** to third parties for the benefit of a customer and is essentially a guarantee that the customer will perform, or satisfy some obligation, under a...business line responsibility combined with central requirements for diversification of customers and businesses. Extensive centrally determined requirements for controls, limits, reporting and the escalation of **issues** have been detailed in HUSI's and HSBC's policies and procedures. In addition, HUSI has a formal independent compliance function, the staff of which...

... credit, market, interest rate and operational risk. HUSI calculates economic capital sufficient to cover losses over a one year time horizon at a 99.95% **confidence** level. This is consistent with HBUS's "AA" rating, as "AA" rated credits have historically defaulted at a rate of about .05% per year. The...and trends. Rating methodology is based upon a wide range of financial analytics together with market data-based tools which are core inputs to the **assessment** of counterparty risk. Although **automated** risk-rating processes are increasingly in use, for the larger facilities ultimate responsibility for setting risk grades rests in each case with the final approving... cash to meet lending, deposit withdrawal and other commitments at a reasonable cost in a reasonable amount of time, while maintaining routine operations and market **confidence**. HUSI is planning its funding and liquidity management in conjunction with HSBC Finance Corporation and HSBC, as the markets increasingly view debt issuances from the... dividends out of current operating earnings. HUSI filed a shelf registration statement with the Securities and Exchange Commission in April 2006, under which it may **issue** debt securities, preferred stock, either separately or represented by depositary shares, warrants, purchase contracts and units. HUSI satisfies the eligibility requirements for designation as a "well-known seasoned **issuer**", based on amended SEC rules regarding registration, communications and offerings which took effect in December 2005. During 2006, HUSI **issued** perpetual non-cumulative preferred stock totaling approximately \$.4 billion and \$.1 billion senior debt from this shelf. In December 2006, HBUS increased the size of... occur on risk positions as a result of movements in market rates and prices over a specified time horizon and to a given level of **confidence**. VAR calculations are performed for all material trading activities and as a tool for managing interest rate risk inherent in non-trading activities. HUSI calculates VAR daily for a one-day holding period to a 99% **confidence** level. At a 99% **confidence** level for a two-year observation period, HUSI is setting as its limit the fifth worst loss performance in the last 500 business days. VAR...

11/3,K/2 (Item 1 from file: 15)
DIALOG(R)File 15: ABI/Inform(R)
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02333277 102128825
Insolvency law and close-out netting in Greece: A case for legal reform
Papathanassiou, Chryssa
Journal of International Banking Regulation v3n3 PP: 291-296 Dec 2001
ISSN: 1465-4830 JRNL CODE: JIBR
WORD COUNT: 2934

TEXT: ABSTRACT

This paper analyses the validity and **enforceability** of close-out netting under Greek bankruptcy law in the context of financial contracts. It concludes that there is a high legal risk that closeout netting may not be **enforceable** in the case of bankruptcy of Greek counterparties. Therefore, a legal reform is imperative in order to provide transparency for complex financial products with **computerised**, almost instant, price **adjustments**. With a number of EU legal acts on winding-up waiting to be transposed into national law, the legislator should take the opportunity to recognise close-out **netting** in the context of master **agreements** with credit institutions.

INTRODUCTION

Market associations have not yet provided any legal opinion for the European Master Agreement (EMA), sponsored by the Banking Federation of...

16/3,K/1 (Item 1 from file: 267)
DIALOG(R)File 267: Finance & Banking Newsletters
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04627760
A Reference Data Subset Is Getting Its Due: Counterparty, entity information may even get outsourcing treatment
Chris Kentouris
Security Industry News
March 13,2006 DOCUMENT TYPE: NEWSLETTER
PUBLISHER: SECURITIES DATA PUBLISHING
LANGUAGE: ENGLISH WORD COUNT: 2528 RECORD TYPE: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

TEXT:

At firms grappling with data management on the vaunted enterprisewide

scale, reference data **issues** are still pretty much front and center--and throughout the securities industry it remains a daunting challenge to bring it all together cleanly and reliably...

...of its core requirements is that financial firms set aside sufficient regulatory capital to account for credit risk.

"There has been an underinvestment in systems, **databases** and processes that underlie the acquisition, maintenance and distribution of credit data," says Richard Inserro, a director in the financial services advisory practice of PricewaterhouseCoopers...

...capabilities, yet Inserro estimates that 90 of the world's top 100 banks are deficient in maintaining clean counterparty static data repositories, counterparty organizational hierarchies, **netting** and collateral **agreements** and common counterparty identifiers. A Fortune 100-size bank would need to spend up to \$100 million to develop and build a fully integrated credit...

...data to reference instrument data," says David Hirschfeld, SVP of operations for data management software vendor Asset Control. "Not only do financial institutions maintain different **databases** for counterparty data and reference data, but there are multiple ones within different groups based on the type of financial instrument involved, the department receiving the information and the region completing the transaction."

It is common to have more than a dozen **databases** storing counterparty data in incompatible formats. Such discrepancies create headaches for compliance departments, which must ensure that a counterparty's associations are correctly identified, not...

...the parties had relied on erroneous press reports that Armstrong World Industries had changed its name to Armstrong Holdings, which did not guarantee any debt **issued** by Armstrong World Industries. The following year came the Enron blowup: Without an organized data hierarchy of entities related to Enron, the connections among them...

...if and when a financial institution builds a new and more complex data warehouse. Getting the mapping figured out helps solve a critical risk management **issue**--exposure aggregation--before tackling tougher challenges such as implementing the data warehouse and a data governance system.

Outsourcing the cleaning of data has won some...

...Azdex's reports on about a half million legal entities contain several fields: the legal name, "also known as" and "formerly known as" names, industry **codes**, descriptions, registered address, physical address, immediate parent and ultimate parent. They also contain a variety of publicly available identifiers including tax IDs, business registry IDs...

16/3,K/2 (Item 2 from file: 267)
DIALOG(R)File 267: Finance & Banking Newsletters
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04569751
LEGISLATIVE/REGULATORY ACTIVITY BEFORE THE AUGUST BREAK
Credit Risk Management Report
August 7, 2000 VOL: 10 ISSUE: 15 DOCUMENT TYPE: NEWSLETTER
PUBLISHER: PHILLIPS BUSINESS INFORMATION
LANGUAGE: ENGLISH WORD COUNT: 1397 RECORD TYPE: FULLTEXT

(c) PHILLIPS PUBLISHING INTERNATIONAL All Rts. Reserv.

TEXT:
...than 50/50 chance on the privacy commission bill," says John Byrne,
senior
counsel and compliance
manager for the American Bankers Association. "It's an
issue that resonates
with both parties. It doesn't matter if you're a liberal or conservative;
a pro
privacy approach to
legislation would be somewhat...

...awaits debate by the
full House after its return.

H.R. 1161 The
Financial **Contract Netting**
Improvement Act
...TR>

The SEC's Proposal on
Auditor
Independence
Proposed
rules to enhance auditor independence,
which include prohibiting outsourcing of internal audit to the external
auditor.
In testimony
before the SEC, Comptroller of the Currency John...

...bank, and the resulting pressures he perceived arising from this
practice which could compromise the independence of the external audit,"
Neil
Peterson, director
of banking **law** and regulation, KPMG. Hawke's full
written and oral statements
can be found at www.occ.treas.gov.

Privacy Update		Status
Gramm-Leach-Bliley Act Privacy Rules Extended to Commodity Brokers	The House Commerce Committee, in reporting its version of H.R. 4541...provide greater legal protection to the social security number holder. A provision sponsored by Senator Judd Gregg (Republican of New Hampshire) allows exceptions to the rule , including "for purposes of retrieval of other information by professional and commercial users who appropriately use the information in the normal course and scope of... ...size = "2"> Senate should take up H.R. 4690 in September.	
S. 285 Privacy Policy Enforcement in Bankruptcy Act	Would prohibit the sale of any personally identifiable information held by a failed... ..effect at the time such information was collected. "This legislation comes in reaction to a recent failure of an online toy store that offered its databases and other customer information for sale as part of its liquidation," says Wears.	A stated intention by...

16/3,K/3 (Item 1 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00806392

TECHNOLOGY SHARING DURING ASSET MANAGEMENT AND ASSET TRACKING IN A NETWORK-BASED SUPPLY CHAIN ENVIRONMENT AND METHOD THEREOF
PARTAGE TECHNOLOGIQUE LORS DE LA GESTION ET DU SUIVI DU PARC INFORMATIQUE DANS UN ENVIRONNEMENT DU TYPE CHAÎNE D'APPROVISIONNEMENT RESEAUTÉE, ET PROCÉDÉ ASSOCIÉ

Patent Applicant/Assignee:

ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
(Residence), US (Nationality)

Inventor(s):

MIKURAK Michael G, 108 Englewood Blvd., Hamilton, NJ 08610, US,

Legal Representative:

HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 38th Floor, 2029 Century Park East, Los Angeles, CA 90067-3024, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200139086 A2 20010531 (WO 0139086)

Application: WO 2000US32310 20001122 (PCT/WO US0032310)

Priority Application: US 99444653 19991122; US 99447623 19991122

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE ES
FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA
MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ
UA UG UZ VN YU ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 156214

Fulltext Availability:
Detailed Description
Claims

Claim

... Figure 68
68/129
COLLECTING USER INFORMATION SUCH AS SEARCH REQUESTS, 6900
SHOPPING EVENTS, AND BROWSING HABITS
PLACING ALL OF, THE USER INFORMATION IN A **DATABASE** FOR
6901
RETRIEVAL WHEN NECESSARY
6902
ESTIMATING A USER'S BUYING PATTERN FOR A PARTICULAR TYPE OF
ITEM EACH TIME A USER USES THE SYSTEM
LOGGING THE USER'S CURRENT ACTIVITIES AND ENTERING THEM 6903
INTO THE **DATABASE**
Figure 69
6810
69/129
nn

16/3,K/4 (Item 2 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00806389

SCHEDULING AND PLANNING BEFORE AND PROACTIVE MANAGEMENT DURING MAINTENANCE
AND SERVICE IN A NETWORK-BASED SUPPLY CHAIN ENVIRONMENT
PROGRAMMATION ET PLANIFICATION ANTICIPEE, ET GESTION PROACTIVE AU COURS DE
LA MAINTENANCE ET DE L'ENTRETIEN D'UN ENVIRONNEMENT DU TYPE CHAÎNE
D'APPROVISIONNEMENT RESEAUTÉE

Patent Applicant/Assignee:

ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
(Residence), US (Nationality)

Inventor(s):

MIKURAK Michael G, 108 Englewood Boulevard, Hamilton, NJ 08610, US,

Legal Representative:

HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 38th
Floor, 2029 Century Park East, Los Angeles, CA 90067-3024, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200139082 A2 20010531 (WO 0139082)

Application: WO 2000US32228 20001122 (PCT/WO US0032228)

Priority Application: US 99447625 19991122; US 99444889 19991122

Designated States:

(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)

AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB GE GH GM
HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX
NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG UZ VN YU ZW
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 152479

Fulltext Availability:

Detailed Description

Claims

Claim

... IN THE SYSTEM 831

5328 Figure 83

QAno

AUDITING ADMINISTRATIVE DATA IN A SYSTEM

1 8402

ANALYZING DATA FROM LOG FILES IN THE SYSTEM

MANAGING **RULES** AND POLICIES IN THE SYSTEM

AUDITING USAGE IN THE SYSTEM 8406

8408

BILLING FOR THE USAGE IN THE SYSTEM

MONITORING PERFORMANCE IN THE SYSTEM 8410...CAN ACCESS SPECIFIC

APPLICATIONS, DATA, AND RESOURCES ON A CLIENT

11210

SECURING A SERVER ENVIRONMENT BY IMPLEMENTING A

FIREWALL

Figure 112

Data ca

r 11300

Database

Firewall Packet filte

Router

Client

r

16/3,K/5 (Item 3 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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00806382

METHOD FOR AFFORDING A MARKET SPACE INTERFACE BETWEEN A PLURALITY OF
MANUFACTURERS AND SERVICE PROVIDERS AND INSTALLATION MANAGEMENT VIA A
MARKET SPACE INTERFACE

PROCEDE DE MISE A DISPOSITION D'UNE INTERFACE D'ESPACE DE MARCHÉ ENTRE UNE
PLURALITE DE FABRICANTS ET DES FOURNISSEURS DE SERVICES ET GESTION
D'UNE INSTALLATION VIA UNE INTERFACE D'ESPACE DE MARCHÉ

Patent Applicant/Assignee:

ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
(Residence), US (Nationality)

Inventor(s):

MIKURAK Michael G, 108 Englewood Blvd., Hamilton, NJ 08610, US,

Legal Representative:

HICKMAN Paul L (et al) (agent), Oppenheimer Wolff & Donnelly LLP,
1400 Page Mill Road, Palo Alto, CA 94304, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200139028 A2 20010531 (WO 0139028)

Application: WO 2000US32308 20001122 (PCT/WO US0032308)

Priority Application: US 99444773 19991122; US 99444798 19991122

Designated States:

(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE
ES FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV
MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT
TZ UA UG UZ VN YU ZW
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 170977

Fulltext Availability:

Detailed Description

Claims

16/3,K/6 (Item 1 from file: 20)
DIALOG(R)File 20: Dialog Global Reporter
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54645620

HSBC Holdings PLC - HSBC USA Inc 06 10-K Pt 1b/10

AFX CNF

March 05, 2007

JOURNAL CODE: WCNF LANGUAGE: English RECORD TYPE: FULLTEXT

WORD COUNT: 20103

... other things, the following: local country claims funded by
non-local country obligations (U.S. dollar or other non-local currencies),
principally certificates of deposit **issued** by a foreign
branch, where the providers of funds agree that, in the event of the
occurrence of a sovereign default or the imposition of... for all
counterparties with an International Swaps and Derivatives Association
Master Agreement in place. Future credit risk exposure in the following
table is measured using **rules** contained in the
risk-based capital guidelines published by U.S. banking regulatory
agencies. The risk exposure calculated in accordance with the risk-based

capital...

...netting agreements reduce credit risk and therefore allow for reductions of risk-weighted assets when netting requirements have been met. In addition, risk-based capital **rules** require that netted exposures of various counterparties be assigned risk-weightings, which result in risk-weighted amounts for regulatory capital purposes that are a fraction...8,305 Securities lending indemnifications -- -- -- 4,135

----- Total
..... \$ 49,424 \$ 283,646 \$ 172,112 \$ 505,182 \$
293,072 =====

===== (1)
Includes \$542 million and \$523 million **issued** for the benefit of HSBC affiliates at December 31, 2006 and 2005, respectively. (2) \$7 million of this amount is indemnified by HSBC affiliates at December 31, 2006 and 2005. (3) Includes \$71,908 million and \$51,202 million **issued** for the benefit of HSBC affiliates at December 31, 2006 and 2005, respectively. Letters of Credit HUSI may **issue** a letter of credit for the benefit of a customer, authorizing a third party to draw on the letter for specified amounts under certain terms and conditions. The issuance of a letter of credit is subject to HUSI's credit approval process and collateral requirements. HUSI **issues** two types of letters of credit, commercial and standby. o A commercial letter of credit is drawn down on the occurrence of an expected underlying...

... commercial letter of credit is recorded as a customer acceptance in other assets and other liabilities until settled. o A standby letter of credit is **issued** to third parties for the benefit of a customer and is essentially a guarantee that the customer will perform, or satisfy some obligation, under a... concerned parties; o adequate protections, capital and other resources can be put in place to weather all significant risks; and o compliance with all relevant **laws**, regulations and regulatory requirements is ensured through staff education, adequate processes and controls, and ongoing monitoring efforts. Historically, HUSI's approach toward risk management has...

... business line responsibility combined with central requirements for diversification of customers and businesses. Extensive centrally determined requirements for controls, limits, reporting and the escalation of **issues** have been detailed in HUSI's and HSBC's policies and procedures. In addition, HUSI has a formal independent compliance function, the staff of which...

... each business and support unit. However, for all risk types, there are independent risk specialists that set standards, develop new risk methodologies, maintain central risk **databases**, and conduct reviews and analysis. The Chief Risk Officer and the Executive Vice Presidents for Compliance and Anti-Money Laundering provide day-to-day oversight...

... credit, market, interest rate and operational risk. HUSI calculates

16/3,K/7 (Item 2 from file: 20)
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49530919

Back-Office Prescriptions: Burgeoning credit derivative products get the
STP treatment--just in time

Chris Kentouris

SECURITIES INDUSTRY NEWS

June 05, 2006

JOURNAL CODE: TSIN LANGUAGE: English RECORD TYPE: FULLTEXT

WORD COUNT: 2629

... derivatives market on a better operational footing," says Kevin Sauls, president of KGS Financial, a New York-based consulting firm specializing in derivatives and operational issues. "To improve the current error rates in trade confirmation, the front office needs to take a more proactive role in hiring more experienced support staff...

... operations staff and external consultants to wade through stacks of unconfirmed trades; it often takes these teams more than a day to resolve outstanding contract issues on a counterparty-by-counterparty basis. "We spent four weekends in the same hotel room last year with counterparties sifting through thousands of documents to...

... exercise, 40 percent of the backlog was still there. "Senior staffers are being called away from their jobs to focus on the confirmation and matching issues," says Mike Turner, associate partner with m.a. partners, a financial services consultancy in London. "This is coming at a time when there is a...of cash breaks. The database will be continuously updated to account for full or partial assignments and terminations as well as the calculation and bilateral netting of cash flows in each contract is and of database specialist Markit Group of London and New York to automate "soft credit events"--the nonstandard actions that affect securities but that have not in the...

... confirmation and settlement, notifying each party in the life cycle of the status of the transaction and flagging any errors or exceptions to specified business rules," says Rolf Theisen, VP of solutions at Iris. But can software packages address every operational woe in the credit derivatives market? Some in the marketplace...

19/3,K/1 (Item 1 from file: 267)
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04595938

Risk Management Must Remain A Key Priority For Banks, Fed Chair Says
Item Processing Report

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TEXT:

...readily deflected in earlier decades," Greenspan said. Also, the counterparty credit risk associated with the use of derivative instruments has been mitigated by legally enforceable **netting** and through the growing use of collateral **agreements**, he said.

Focusing On, and Responding to, **Changing Risks**

Greenspan cautioned ABA attendees that sound risk-management techniques require more than adequate tools and diverse markets -- managers must also pay attention to **changing** risks and respond effectively to them. "In this respect, developments in 1998 were key in alerting U.S. banks to mounting risk," he said.

"After...risk. "Their use also has expanded well beyond their original purpose of assessing credit risk," he said. "Today they are used for assessing the risk-**adjusted** profitability of account relationships, for establishing the initial and ongoing credit limits available to borrowers, and for assisting in a range of activities in loan...

...to serve profitably."

The Fed Chair believes that the use of credit-scoring models has taught bankers--sometimes through costly experience -- the value of continually **updating** the **database** on which the model operates. "Indeed, one can speculate that some of the problems this year in subprime credit card losses may well represent an...

...of basing more-sophisticated quantitative approaches, approaches that seem to have served the banking system so well when applied initially, on a longer and larger **database** of loss experience."

Despite the successes in risk management, Greenspan cautioned the audience to continue to be vigilant. "To be sure, there were, and still...

19/3,K/2 (Item 2 from file: 267)
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04594366

Banks' Risk-Management Measures Key to Maintaining Strength, Fed Chair
Says
Card News

October 30, 2002 VOL: 17 ISSUE: 22 DOCUMENT TYPE: NEWSLETTER

PUBLISHER: PHILLIPS BUSINESS INFORMATION

LANGUAGE: ENGLISH WORD COUNT: 1498 RECORD TYPE: FULLTEXT

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TEXT:

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...of basing more-sophisticated quantitative approaches,
approaches that seem to have served the banking system so well when applied
initially, on a longer and larger **database** of loss

experience."

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19/3,K/3 (Item 3 from file: 267)
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04569751
LEGISLATIVE/REGULATORY ACTIVITY BEFORE THE AUGUST BREAK
Credit Risk Management Report
August 7, 2000 VOL: 10 ISSUE: 15 DOCUMENT TYPE: NEWSLETTER
PUBLISHER: PHILLIPS BUSINESS INFORMATION
LANGUAGE: ENGLISH WORD COUNT: 1397 RECORD TYPE: FULLTEXT

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TEXT:
...5000; Bradley Wears, Neil Peterson, KPMG,
202/533-3000.)

Executive Update	
Bill	Details< after House full by debate ...awaits>
H.R. 1161 The Financial Contract Netting Improvement Act	...H.R. 4541 (above).

Regulatory Update		
Proposal	Details	updates on financial crime and money laundering. The advisory letter can be found at www.fdic.gov .
		Issued July 21.

Privacy Update		
Proposal	Details	A stated intention by...

19/3,K/4 (Item 1 from file: 349)

DIALOG(R) File 349: PCT FULLTEXT
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00806392

TECHNOLOGY SHARING DURING ASSET MANAGEMENT AND ASSET TRACKING IN A
NETWORK-BASED SUPPLY CHAIN ENVIRONMENT AND METHOD THEREOF
PARTAGE TECHNOLOGIQUE LORS DE LA GESTION ET DU SUIVI DU PARC INFORMATIQUE
DANS UN ENVIRONNEMENT DU TYPE CHAÎNE D'APPROVISIONNEMENT RESEAUTÉE, ET
PROCÉDÉ ASSOCIÉ

Patent Applicant/Assignee:

ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
(Residence), US (Nationality)

Inventor(s):

MIKURAK Michael G, 108 Englewood Blvd., Hamilton, NJ 08610, US,

Legal Representative:

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Floor, 2029 Century Park East, Los Angeles, CA 90067-3024, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200139086 A2 20010531 (WO 0139086)

Application: WO 2000US32310 20001122 (PCT/WO US0032310)

Priority Application: US 99444653 19991122; US 99447623 19991122

Designated States:

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AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE ES
FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA
MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ
UA UG UZ VN YU ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 156214

Fulltext Availability:

Detailed Description

Claims

Claim

... Figure 68

68/129

COLLECTING USER INFORMATION SUCH AS SEARCH REQUESTS, 6900
SHOPPING EVENTS, AND BROWSING HABITS
PLACING ALL OF THE USER INFORMATION IN A **DATABASE** FOR

6901

RETRIEVAL WHEN NECESSARY

6902

ESTIMATING A USER'S BUYING PATTERN FOR A PARTICULAR TYPE OF
ITEM EACH TIME A USER USES THE SYSTEM

LOGGING THE USER'S CURRENT ACTIVITIES AND ENTERING THEM 6903

INTO THE DATABASE

Figure 69

6810

69/129

nn

DEVELOPING CONTENT OF A DATA INTERFACE FOR ACCESSING DATA ON A NETWORK

MANAGING THE CONTENT OF THE DATA INTERFACE...Development E5. The current legacy systems can scale to serve a architectures will be designed to support frequent potentially large new audience. releases of enhancements/modifications to production applications.

Figure87

86/129

8802

Business Bl. The application will be used only by an Imperatives internal user community.

B2. The application requires...FROM THE 10402

GROUP CONSISTING OF SERVER PROCESSES, DISK SPACE, MEMORYAVAILABILITY,CPUUTILIZATION,ACCESSTIMETO A SERVER, AND A NUMBER OF CONNECTIONS IN AN E-COMMERCE SYSTEM

10404

UPDATING ITEIVIS SELECTED FROM THE GROUP CONSISTING OF MERCHANDISING CONTENT, CURRENCY EXCHANGE RATES, TAX RATES, AND PRICING IN THE E-COMMERCE SYSTEM AT PREDETERMINED INTERVALS

10406...

19/3,K/5 (Item 2 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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00806389

SCHEDULING AND PLANNING BEFORE AND PROACTIVE MANAGEMENT DURING MAINTENANCE AND SERVICE IN A NETWORK-BASED SUPPLY CHAIN ENVIRONMENT

PROGRAMMATION ET PLANIFICATION ANTICIPEE, ET GESTION PROACTIVE AU COURS DE LA MAINTENANCE ET DE L'ENTRETIEN D'UN ENVIRONNEMENT DU TYPE CHAINE D'APPROVISIONNEMENT RESEAUTEE

Patent Applicant/Assignee:

ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
(Residence), US (Nationality)

Inventor(s):

MIKURAK Michael G, 108 Englewood Boulevard, Hamilton, NJ 08610, US,

Legal Representative:

HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 38th Floor, 2029 Century Park East, Los Angeles, CA 90067-3024, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200139082 A2 20010531 (WO 0139082)

Application: WO 2000US32228 20001122 (PCT/WO US0032228)

Priority Application: US 99447625 19991122; US 99444889 19991122

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB GE GH GM
HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX
NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG UZ VN YU ZW
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 152479

Fulltext Availability:

Detailed Description

Claims

Claim

... Development ES. The current legacy system can scale to serve a architectures MI be designed to support frequent potentially large new audience. releases of enhancements/**modifications** to production applications.

Figure 87

8800 8802

Business BI. The application will be used only by an Imperativas interna(inverted exclamation mark) user community.

B2...SELECTED FROM THE 10402

GROUP CONSISTING OF SERVER PROCESSES, DISK SPACE, MEMORYAVAILABILITY,CPUUTILIZATION,ACCESSTIMETO A SERVER, AND A NUMBER OF CONNECTIONS IN AN E-COMMERCE SYSTEM

UPDATING ITEMS SELECTED FROM THE GROUP CONSISTING OF 10404

MERCHANDISING CONTENT, CURRENCY EXCHANGE RATES, TAX RATES, AND PRICING IN THE E-COMMERCE, SYSTEM AT PREDETERMINED INTERVALS...

...I O@606

Figure 106

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Settlement Fulfillment

Figure 108

02
PROVIDING AN ABILITY TO SEARCH FOR INFORMATION ON THE
NETWORK VIA A SITE
@704
DISPLAYING ORDER TRACKING INFORMATION FOR...

...1 06 11108
11100 11102 11104
Figure 111
11202
ATTACHING A MESSAGE DIGEST TO DATA PRIOR TO A
TRANSMISSION FOR DETERMINING WHETHER THE DATA WAS
MODIFIED AFTER BEING SENT BY A USER
ir
11204
ENCRYPTING THE DATA FOR PREVENTING UNAUTHORIZED
ACCESS TO THE DATA DURING THE TRANSMISSION
06
SENDING AUTHENTICATION INFORMATION...

...CAN ACCESS SPECIFIC
APPLICATIONS, DATA, AND RESOURCES ON A CLIENT
11210
SECURING A SERVER ENVIRONMENT BY IMPLEMENTING A
FIREWALL
Figure 112

19/3,K/6 (Item 3 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00806384
NETWORK AND LIFE CYCLE ASSET MANAGEMENT IN AN E-COMMERCE ENVIRONMENT AND
METHOD THEREOF
GESTION D'ACTIFS DURANT LE CYCLE DE VIE ET EN RESEAU DANS UN ENVIRONNEMENT
DE COMMERCE ELECTRONIQUE ET PROCEDE ASSOCIE

Patent Applicant/Assignee:

ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
(Residence), US (Nationality)

Inventor(s):

MIKURAK Michael G, 108 Englewood Blvd., Hamilton, NJ 08610, US,

Legal Representative:

HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 38th
Floor, 2029 Century Park East, Los Angeles, CA 90067-3024, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200139030 A2 20010531 (WO 0139030)

Application: WO 2000US32324 20001122 (PCT/WO US0032324)

Priority Application: US 99444775 19991122; US 99447621 19991122

Designated States:

(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)

AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CU CZ DE DK DZ EE ES FI GB
GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK

MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG UZ VN
YU ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 171499

Fulltext Availability:

Detailed Description

Claims

Claim

... OF SERVER PROCESSES, DISK SPACE,
MEMORY AVAILABILITY, CPU UTILIZATION, ACCESS TIME TO A
SERVER, AND A NUMBER OF CONNECTIONS IN AN E-COMMERCE
SYSTEM

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UPDATING ITEMS SELECTED FROM THE GROUP CONSISTING OF
10404

MERCHANDISING CONTENT, CURRENCY EXCHANGE RATES, TAX
RATES, AND PRICING IN THE E-COMMERCE SYSTEM AT
PREDETERMINED INTERVALS...

...10606

Figure 106

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Settlement Fulfillment

Figure 108

99/129

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PROVIDINGANABILITYTOSEARCHFORINFORMATIONONTHE
NETWORK VIA A SITE

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10 04

DISPLAYING ORDER TRACKING INFORMATION FOR TRACKING AI Figure 111

101/129

11202

ATTACHING A MESSAGE DIGEST TO DATA PRIOR TO A
TRANSMISSION FOR DETERMINING WHETHER THE DATA WAS
MODIFIED AFTER BEING SENT BY A USER

I F

11204

ENCRYPTING THE DATA FOR PREVENTING UNAUTHORIZED
ACCESS TO THE DATA DURING THE TRANSMISSION

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19/3,K/7 (Item 4 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00806383

COLLABORATIVE CAPACITY PLANNING AND REVERSE INVENTORY MANAGEMENT DURING
DEMAND AND SUPPLY PLANNING IN A NETWORK-BASED SUPPLY CHAIN ENVIRONMENT
AND METHOD THEREOF

PLANIFICATION EN COLLABORATION DES CAPACITES ET GESTION ANTICIPEE DES
STOCKS LORS DE LA PLANIFICATION DE L'OFFRE ET DE LA DEMANDE DANS UN
ENVIRONNEMENT DE CHAINE D'APPROVISIONNEMENT FONDEE SUR LE RESEAU ET
PROCEDE ASSOCIE

Patent Applicant/Assignee:

ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
(Residence), US (Nationality)

Inventor(s):

MIKURAK Michael G, 108 Englewood Blvd., Hamilton, NJ 08610, US,

Legal Representative:

HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 1400 Page
Mill Road, Palo Alto, CA 94304, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200139029 A2 20010531 (WO 0139029)

Application: WO 2000US32309 20001122 (PCT/WO US0032309)

Priority Application: US 99444655 19991122; US 99444886 19991122

Designated States:

(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)

AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE ES
FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA
MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ
UA UG UZ VN YU ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 157840

Fulltext Availability:

Detailed Description

Claims

Claim

... OF SERVER PROCESSES, DISK SPACE,
MEMORY AVAILABILITY, CPU UTILIZATION, ACCESS TIME TO A
SERVER, AND A NUMBER OF CONNECTIONS IN AN E-COMMERCE
SYSTEM

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UPDATING ITEMS SELECTED FROM THE GROUP CONSISTING OF
10404

MERCHANDISING CONTENT, CURRENCY EXCHANGE RATES, TAX
RATES, AND PRICING IN THE E-COMMERCE SYSTEM AT
PREDETERMINED INTERVALS...

...Figure 106

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19/3,K/8 (Item 5 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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00806382

METHOD FOR AFFORDING A MARKET SPACE INTERFACE BETWEEN A PLURALITY OF
MANUFACTURERS AND SERVICE PROVIDERS AND INSTALLATION MANAGEMENT VIA A
MARKET SPACE INTERFACE

PROCEDE DE MISE A DISPOSITION D'UNE INTERFACE D'ESPACE DE MARCHÉ ENTRE UNE
PLURALITE DE FABRICANTS ET DES FOURNISSEURS DE SERVICES ET GESTION
D'UNE INSTALLATION VIA UNE INTERFACE D'ESPACE DE MARCHÉ

Patent Applicant/Assignee:

ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
(Residence), US (Nationality)

Inventor(s):

MIKURAK Michael G, 108 Englewood Blvd., Hamilton, NJ 08610, US,

Legal Representative:

HICKMAN Paul L (et al) (agent), Oppenheimer Wolff & Donnelly LLP,
1400 Page Mill Road, Palo Alto, CA 94304, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200139028 A2 20010531 (WO 0139028)

Application: WO 2000US32308 20001122 (PCT/WO US0032308)

Priority Application: US 99444773 19991122; US 99444798 19991122

Designated States:

(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE
ES FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV
MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT

TZ UA UG UZ VN YU ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 170977

Fulltext Availability:

Detailed Description

Claims

Claim

... CONSISTING OF SERVER PROCESSES, DISK -SPACE,
MEMORY AVAILABILITY, CPU UTILIZATION, ACCESS TIME TO A
SERVER, AND A NUMBER OF CONNECTIONS IN AN E-COMMERCE
SYSTEM

UPDATING ITEMS SELECTED FROM THE GROUP CONSISTING OF
10404

MERCHANDISING CONTENT, CURRENCY EXCHANGE RATES, TAX
RATES, AND PRICING IN THE E-COMMERCE SYSTEM AT
PREDETERMINED INTERVALS...

...106

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Settlement Fulfillment

Figure 108

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PROVIDING AN ABILITY TO SEARCH FOR INFORMATION ON THE '702
NETWORK VIA A SITE

04

DISPLAYING ORDER TRACKING INFORMATION...1 1 1 06

1 1 1 00 1 1 1 04

Figure 111

11202

ATTACHING A MESSAGE DIGEST TO DATA PRIOR TO A
TRANSMISSIONFORDETERMININGWHETHERTHEDATAWAS

MODIFIED AFTER BEING SENT BY A USER

11204

ENCRYPTING THE DATA FOR PREVENTING UNAUTHORIZED
ACCESS TO THE DATA DURING THE TRANSMISSION

SENDING AUTHENTICATION INFORMATION WITH THE...

19/3,K/9 (Item 6 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00788794 **Image available**

A FINANCIAL RISK AND EXPOSURE MANAGEMENT SYSTEM
SYSTEME DE GESTION DE RISQUES FINANCIERS

Patent Applicant/Assignee:

SUNGARD SOFTWARE INC, 1285 Drummers Lane, Wayne, PA 19087, US, US
(Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

BELL Gavin, 2 Grosvenor Avenue, Carshalton, Surrey SM5 3EW, GB, GB
(Residence), GB (Nationality), (Designated only for: US)

Legal Representative:

HARRISON GOODDARD FOOTE (agent), Tower House, Merrion Way, Leeds LS2 8PA,
GB,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200122305 A2 20010329 (WO 0122305)

Application: WO 2000GB3671 20000925 (PCT/WO GB0003671)

Priority Application: GB 9922589 19990923

Designated States:

(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)

AE AL AU BA BB BG BR CA CN CR CU CZ DM EE GD GE GH GM HR HU ID IL IN IS
JP KR KP LC LK LR LT LU LV MA MD MG MK MN MX NO NZ PL RO RU SG SI SK TR
TT TZ UA UG US UZ VN YU ZA ZW
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 4887

Fulltext Availability:

Detailed Description

Claims

Detailed Description

... rules for validity tests.

In one embodiment, the database stores dynamic tables which are frequently updated and static tables of infrequently updated data, and said **netting agreement** tables are dynamic.

In one embodiment, the static tables comprise a master agreement table of data associated with a static master agreement including data fields...

Claim

... as claimed in
any preceding claim, wherein the database stores dynamic tables
which are frequently updated and static tables of infrequently
updated data, and said **netting**
agreement tables are dynamic.

5 A financial risk and exposure management system as claimed in
claim 4, wherein the static tables comprise a master agreement table...

19/3,K/10 (Item 7 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00280318 **Image available**
METHODS AND APPARATUS RELATING TO THE FORMULATION AND TRADING OF RISK
MANAGEMENT CONTRACTS
PROCEDE ET APPAREIL DESTINES A L'ETABLISSEMENT ET A LA NEGOCIATION DES
CONTRATS DE GESTION DE RISQUES

Patent Applicant/Assignee:

SHEPHERD Ian Kenneth,

Inventor(s):

SHEPHERD Ian Kenneth,

Patent and Priority Information (Country, Number, Date):

Patent: WO 9428496 A1 19941208

Application: WO 93AU250 19930528 (PCT/WO AU9300250)

Priority Application: WO 93AU250 19930528

Designated States:

(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)

AT AU BB BG BR CA CH CZ DE DK ES FI GB HU JP KP KR KZ LK LU MG MN MW NL
NO NZ PL PT RO RU SD SE SK UA US VN AT BE CH DE DK ES FR GB GR IE IT LU
MC NL PT SE BF BJ CF CG CI CM GA GN ML MR NE SN TD TG

Publication Language: English

Fulltext Word Count: 41169

Fulltext Availability:

Detailed Description

Claims

Claim

... telecommunications/computer software
residing on telecommunications/computer hardware, individual CONTRACT
APPS consist of a cluster of processes (detailed in Appendix C),
utilizing a number of **data files**,
residing on one or more processing

units. A cluster of nine (and potentially more or fewer) specific processes and their related **data files** reside within a CONTRACT APP: a process handling file administration and **updating** tasks supporting all other processes (termed Process 1); a process handling the receipt and processing of "primary" risk management contract transactions (termed Process 2); a...

...Process 9). These processes may function concurrently.
PCT/AU93/00250
APPENDIX C
DESCRIPTION OF CONTRACT APP PROCESSES
Process I
Process I handles file administration and **updating** tasks supporting all other processes (Fig. 18). The PRODUCT, PRODUCT TRANS, DEAL LIST and DEAL LIST TRANS files referred to in Fig. 18 are applicable...

...PRICE, TRADE PRICE TRANS, TRADE LIMIT and TRADE LIMIT TRANS files are applicable only to secondary and derivative-secondary contract orders.
The file administration and **updating** tasks handled by Process I comprise: dealing with general **data-file** information received from CONTRACT APP stakeholders; dealing with general **data-file** and order processing information received from relevant other INVENTCO stakeholders, particularly VIRPRO and AXSCO; dealing with trading support information ...transfer entity account details; and, if applicable, their required schedule of fees and charges payable by other INVENTCO stakeholders. This information is maintained in the **data file** ADMIN, **updated** information being received by way of the transaction file ADMIN TRANS.
PCT/AU93/00250
VIRPRO is required to supply the applicable CONTRACT APP with various forms of general **data-file** information including: identification data relating to the application promoter for (each) CONTRACT APP; details of the permitted types of system access mediums; and consideration/entitlement denominations available in each application. Again, this information is maintained in the **data file** ADMIN, **updated** information being received by way of the transaction file ADMIN TRANS.
VIRPRO is similarly required to supply the applicable CONTRACT APP with various forms of general **data-file** information including:

19/3,K/11 (Item 8 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00198470

METHOD AND APPARATUS FOR CREATING AND EXECUTING GRAPHICAL MODELS OF COMPLEX SYSTEMS

PROCEDE ET APPAREIL DE CREATION ET D'EXECUTION DE MODELES GRAPHIQUES DE SYSTEMES COMPLEXES

Patent Applicant/Assignee:

META SOFTWARE CORPORATION,

Inventor(s):

SHAPIRO Robert,
MALHOTRA Jawahar,
JENSEN Kurt,
CHRISTENSEN Soren,
HUBER Peter,

Patent and Priority Information (Country, Number, Date):

Patent: WO 9115828 A1 19911017

Application: WO 91US2418 19910409 (PCT/WO US9102418)

Priority Application: US 90119 19900409

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AT AT AU BE CA CH DE DE DK DK ES FI FR GB GB GR IT JP KR LU NL NL NO SE
SE SU

Publication Language: English

Fulltext Word Count: 22095

Fulltext Availability:

Detailed Description

Detailed Description

... data. The color sets then became a real description of all the data that is needed in order for the model to execute properly. Several **databases** were modelled with color sets to represent customers balances, network balances and **agreements** on **netting** operations. Since the purpose of this phase was no longer the validation of the logic of the model but, rather, the validation of the computational...

...model was done in a week. During this phase a serious design error in the SADT model was discovered. The discovery of this error required **changes** in both the MID-SADT and MID-CPN models. These **changes** took only three days to implement, thanks to the flexibility and locality properties of the models used for the specification and development processes. In the...

19/3,K/12 (Item 1 from file: 636)
DIALOG(R)File 636: Gale Group Newsletter DB(TM)
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04178985 Supplier Number: 54693158 (USE FORMAT 7 FOR FULLTEXT)
GSCC TESTING NEW DATABASE AND SUBSYSTEMS.
Operations Management, v5, n10, p6
March 8, 1999
Language: English Record Type: Fulltext
Document Type: Newsletter; Trade
Word Count: 408

The new system runs on an Oracle relational **database**, which is better suited for analytical applications than the current proprietary mainframe. Also, the core processing system has been divided into functional subsystems, including trade recording, risk management, **netting** and trade guarantee and the **settlement** process. With these modules, GSCC can isolate a component when it makes and tests **changes** without affecting the entire system, Palatnick explained. The utility is adding functions to the processing system in small numbers to ensure core processing is not...

V. Additional Resources Searched

0 results